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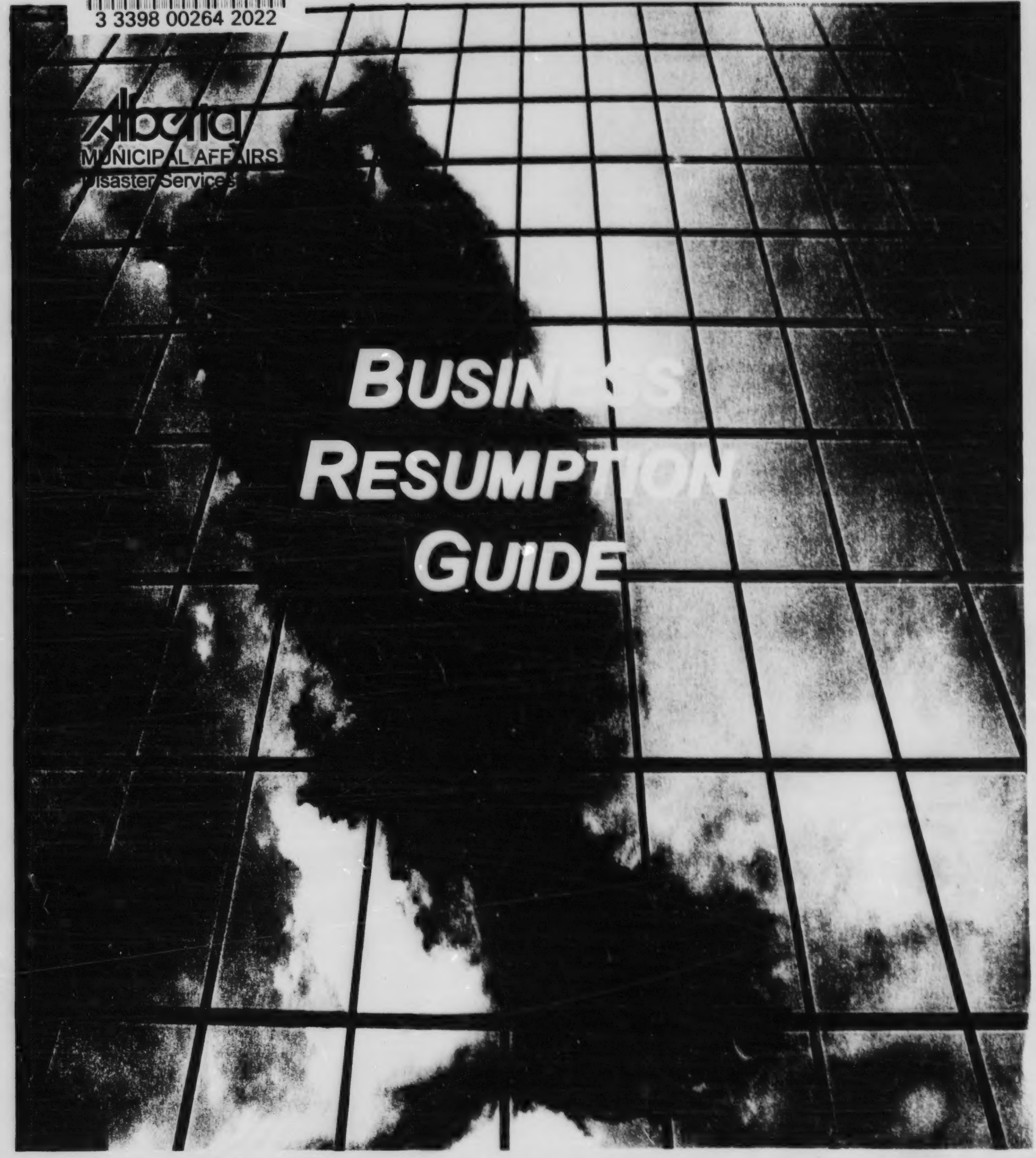

Alberta
MUNICIPAL AFFAIRS
Disaster Services

BUSINESS RESUMPTION GUIDE

Alberta
MUNICIPAL AFFAIRS
Disaster Services

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Memorandum

FROM: Barry J. Mclean
Director

OUR FILE REFERENCE: 00910-010

YOUR FILE REFERENCE:

TO: Departmental Business Resumption
Team Managers

DATE: February 8, 2002

TELEPHONE: 780/415-9480

SUBJECT: BUSINESS RESUMPTION GUIDE

The *Business Resumption Guide* has been prepared to assist you and your team in the designing, writing and exercising of your department's business resumption plan. Enclosed is the First Edition of this working document, including a CD-ROM. In writing the *Business Resumption Guide*, we have attempted to abide by our recommended principles of business resumption planning, including: simplicity, cohesiveness, compartmentalization and interchangeability.

Part 1, *Planning Guide*, has been oriented for use by the Business Resumption Team Managers and their teams. It is written sequentially, mirroring the overall recommended business resumption process.

Part 2, *Plan Template*, has been purposely written in point-form, emphasizing its intended utility as a template.

Part 3, *Training and Awareness* discusses general concepts of training and the scope of training that Business Resumption Planning can offer your department. Specific details of our Business Resumption Training Course will be distributed to you by the end of February 2002.

Part 4, *Exercising and Validating the Plan* will be completed and distributed to you by mid-April 2002. This module will provide guidance on exercising and testing concepts, including recommended formats for your exercises, supporting plans, after-action and lessons learned processes.

We consider the *Business Resumption Guide* a living document and as such it is a work in progress. Our intention is to amend and upgrade it continuously within an incremental framework that will reflect the ongoing improvement in the Government's overall business resumption capabilities. We look forward to, and anticipate your feedback regarding this document, particularly its utility as an aid in your business resumption processes. I would like to re-emphasize that our Disaster Services Officers are available to help you through all aspects of the business resumption process.

.../2

Please do not hesitate to contact me, or our Disaster Services Officers, should you have comments, questions or inquiries regarding the *Business Resumption Guide* or related matters.

Respectfully,

Barry J. Mclean

Distribution List

RECORD OF AMENDMENTS

The Business Resumption Guide may require updates and amendments based on various factors. In order to ensure that a most accurate copy of the Guide is maintained, it is recommended that a business resumption team member be assigned the responsibility of maintaining current copies of the Guide.

The person assigned the responsibility of maintaining the Business Resumption Guide is:

Name: ____________________

Title: ____________________

Phone: ____________________ **Fax:** ____________________

E-mail: ____________________

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FOREWORD

Business Resumption Guide has been prepared by the Business Resumption Planning Directorate of Disaster Services, Alberta Municipal Affairs. It has been designed to provide a practical step-by-step guide for developing comprehensive business resumption procedures. Consideration has been given to the development of two components: the business resumption plan, and ability to activate and implement the plan.

Authority for the production of this document can be found within the Disaster Services Act and the Alberta Regulation 62/2000, Government Emergency Planning Regulation.

Business Resumption Guide currently consists of four modules:

Part 1 – *Planning Guide*
Part 2 – *Business Resumption Plan Template*
Part 3 – *Training & Awareness*
Part 4 – *Exercise & Validation*
Part 5 – *Performance Measurement*

Each module includes multiple annexes to support your plans. In some cases, identical annexes have been placed in different modules. This has been done to allow for an efficient use of the Guide.

Business Resumption Guide has been specifically designed to avoid explicit scenarios or examples. This has been done to conform to the principle of simplicity and to account for the diverse nature of departments. By retaining generic characteristics, we believe this Guide will offer the flexibility to meet the specific needs of various organizations.

Business Resumption Guide has been written for the Government of Alberta, by employees of the Government; emphasizing our responsibility to resume essential services for Albertans in the face of emergencies, disasters and disruptions in our operations. As a business resumption planner for your department, we recommend you commence the business resumption process by asking three questions:

- What are our organization's essential services?
- Who, within the organization, is responsible for the provision of those services?
- If we were to lose the infrastructure and facilities that support our essential services, what do we need and where will we go to resume those services?

It is our view that the answers to the above questions are the basis for all business resumption planning.

We hope you find this Guide a valuable addition to your business resumption planning resources. If you have any comments or recommendations for amendments, please contact:

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Business Resumption Guide

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1 INTRODUCTION

1.1 PURPOSE

This document will assist all Business Resumption Team Managers and their teams in the process of business resumption planning and management. The Planning Guide provides step-by-step guidance relating to all facets of resumption planning. It is applicable to department, division, branch and section levels (and equivalencies) of the organization and planning of business resumption.

This guide does not include specific details of the various components of business resumption planning; rather, it is designed as an overview. It is recognized that although this part of the *Business Resumption Guide* is generic in its format, some of its content may not be applicable to your organization. All users are encouraged to amend components of this guide to meet the needs of their organization. Additional information, recommendations and assistance are available from the Business Resumption Planning staff of Disaster Services.

This planning guide includes four general components:

Section 1	Introduction
Section 2	The Business Resumption Plan
Section 3	Business Resumption Planning Sequence
Section 4	Supporting Knowledge

1.2 WHY THE NEED FOR BUSINESS RESUMPTION PLANS

While the likelihood of a disaster occurring is uncertain, every organization should develop concise, written and comprehensive business resumption plans (BRPs) that address all critical operations of the organization, and its essential services. These plans will allow the organization to resume business in an orderly and efficient manner. The benefits that are derived from an effective BRP include:

- Ensuring the safety of government employees and the general public.
- Minimizing potential revenue loss.
- Preventing loss of confidence in the government.
- Reducing the probability of a disaster or disruption occurrence.
- Reducing disruption of normal operations.

In the case of an interruption resulting from a significant emergency or disaster, the probability of government employees becoming victims, including suffering primary and secondary traumatic affects, will be considerable. An effective BRP allows managers at all levels the opportunity to ensure employees can refocus, by getting on with their jobs. The re-engagement of employees, particularly when motivated by the conditions created through a resumption process, will likely reduce the overall impact of a disruption of operations.

1.3 DISASTER SERVICES - BUSINESS RESUMPTION PLANNING

1.3.1 MISSION, OBJECTIVES AND RESPONSIBILITIES

The Business Resumption Planning Directorate of the Disaster Services Branch will extend the necessary expertise and resources to the departments, bureaus, and agencies that encompass the Executive Council of the Government of Alberta, ensuring the same levels of services that exist for emergency planning exist for business resumption planning.

1.3.2 OUR CORE RESPONSIBILITIES

Our assigned and implied responsibilities include, but are not limited to, the following areas:

- Constructing a business resumption program within the context of the government's business and fiscal plans.
- Developing, implementing and maintaining a comprehensive business resumption guide and template.
- Assisting departments in identifying their BRP needs.
- Assisting departments with plan development.
- Assisting departments in plan exercising, assessment and validation.
- Reviewing and assisting in the amendment of finalized BRPs.
- Conducting cross government coordination of all departmental plans.
- Ensure the continuous improvement and currency of completed plans through validation and exercising.

1.3.3 ASSUMPTIONS

In planning for business resumption, it is essential to establish the overall scope of the plan through the setting of certain accepted conditions. In this case, the basis of these conditions is realized through the establishment of assumptions. Like the BRPs, the Business Resumption Planning of Disaster Services has accepted assumptions as a basis for the development of the overall program. Our assumptions include the following:

- BRPs are based on the worst-case emergency scenario.
- Executive Committees have endorsed all facets of the plan and its development.
- All departments have designated business resumption teams.

- Departments, in accordance with the Government Emergency Planning Regulation, have complete emergency plans that support the Alberta Emergency Plan.
- Business resumption planners cannot and should not attempt to identify every possible risk to normal government operations.
- A BRP may be activated as a result of an incident that is not considered a disaster or emergency at the municipal or provincial level.
- During the response phase (consequence management) of the disaster management cycle, a BRP team will be formed, either in a full or part-time capacity, to manage the necessary levels of business resumption.

1.4 THE DISASTER MANAGEMENT CYCLE

This cycle represents the conditions and processes that are generally accepted as occurring before and after an emergency or disaster.

Part 1 - Figure 1 (page 4) is a graphic representation of the *Disaster Management Cycle*.

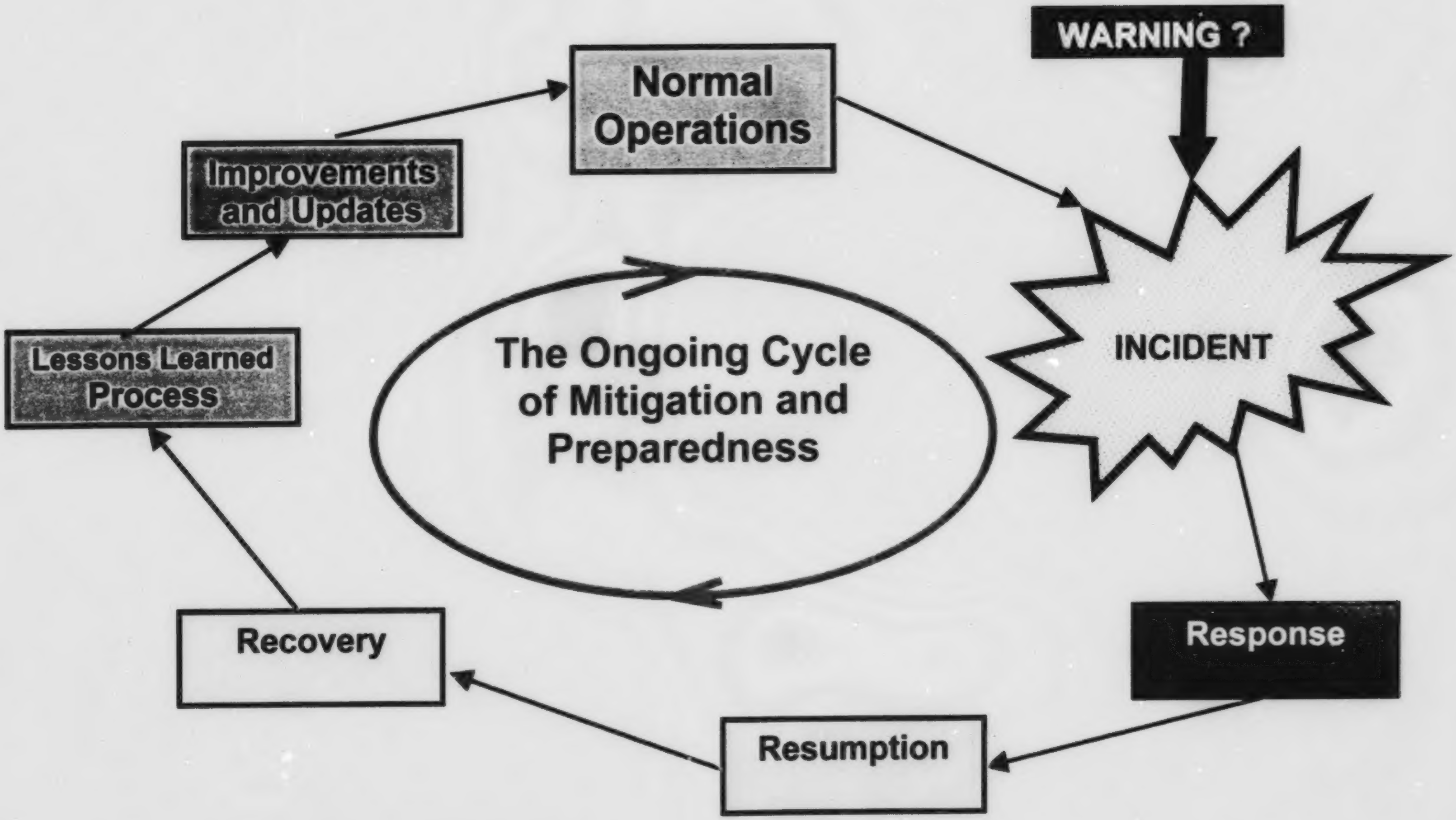
1.5 THE BUSINESS CONTINUITY CYCLE

The Business Continuity Cycle mirrors the Disaster Management Cycle in many respects; however, this cycle recognizes and is designed to effectively respond to incidents that may lead to a disruption of services, but by definition, may not be considered disasters or emergencies.

Part 1 - Figure 2 (page 5) represents the *Business Continuity Cycle*.

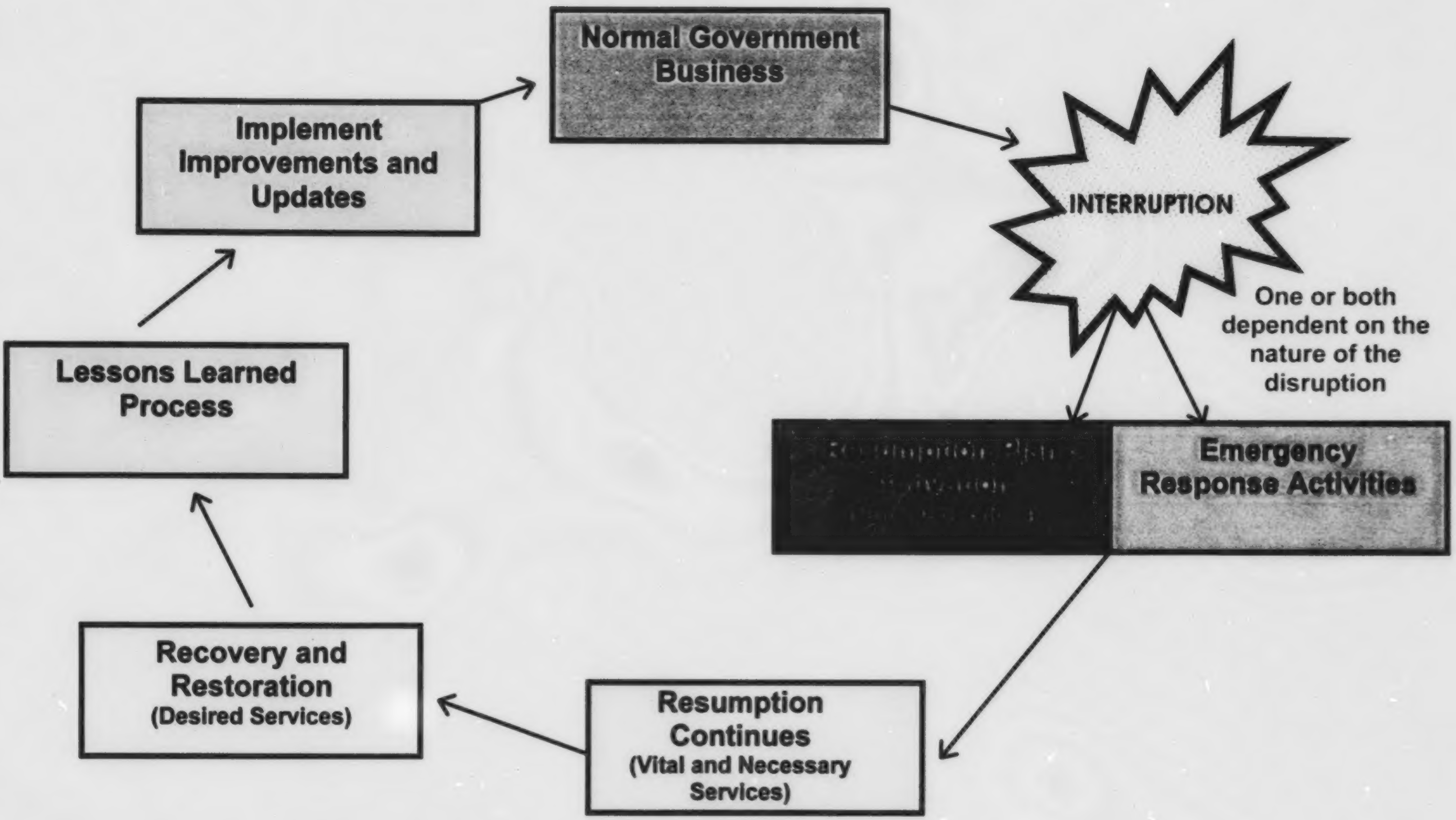
DISASTER MANAGEMENT CYCLE

(Figure 1)


WARNING ?
Normal Operations
INCIDENT
Improvements and Updates
Lessons Learned Process
The Ongoing Cycle of Mitigation and Preparedness
Response
Recovery
Resumption

BUSINESS CONTINUITY CYCLE

(Figure 2)


Normal Government Business
INTERRUPTION
One or both dependent on the nature of the disruption
Resumption Plan
Activation
Emergency Response Activities
Resumption Continues (Vital and Necessary Services)
Recovery and Restoration (Desired Services)
Lessons Learned Process
Implement Improvements and Updates

2 THE BUSINESS RESUMPTION PLAN

2.1 DEFINITION

BRPs ensure the continued availability of essential services, operations and programs, including all applicable resources. BRPs are activated during, or immediately after an emergency and are aimed at permitting the rapid and cost effective resumption of essential services.

2.2 QUALITIES OF AN EFFECTIVE BUSINESS RESUMPTION PLAN

- Identifies critical, vital, necessary and desired services and the resources needed to ensure their resumption support.
- Facilitates timely and effective resumption activation protocols.
- Identifies the potential threats (risk assessment).
- Estimates the impact of the disruption of services (business impact analysis).
- Documents how key assets move within and outside the organization, including information, services, goods and financial assets.
- Determines relationship interdependencies within and external to the organization.
- Determines resource and supporting facility requirements in a context of space, proximity and function.
- Develops various resumption teams.

2.3 PRINCIPLES OF BUSINESS RESUMPTION PLANNING

2.3.1 THE PRIMACY OF CRITICAL SERVICES

The requirement for a department and the government to resume clearly defined critical services in a timely manner should drive the business resumption planning and management process.

2.3.2 SENIOR MANAGEMENT INPUT AND CONCURRENCE

The importance of business resumption will be clearly understood at the executive level of government departments. Confirmation of executive concurrence can be initially represented by the promulgation of policy regarding resumption planning.

2.3.3 SIMPLICITY IN CONSTRUCTION AND CLARITY IN PRESENTATION

Plans should reflect the balance between sufficient detail to ensure clarity, but also allow enough flexibility to account for the specific needs of various levels of operations and responsibility. Extremely detailed plans are likely to be overlooked during a resumption situation.

2.3.4 COHESIVE PROCESS

Unity and general conformity of plans are essential to ensure the government, with assistance from the Disaster Services Branch, can effectively coordinate and monitor multiple and concurrently active BRPs. However, it is recognized that the diverse nature of departments, whether it be service based, geographic, or mandated, may not permit detailed uniformity.

2.3.5 TIMELINESS

The decision of when to activate a BRP will have a direct bearing on its successful implementation and ultimately affect the overall recovery process.

2.3.6 DISSEMINATION OF PLANS

BRPs need to be distributed amongst all applicable stakeholders. Efficient systems of dissemination are necessary to ensure the effective two-way flow of information pertaining to the plans, including amending and upgrading plans as part of the maintenance process. Availability of plans at alternate locations and individual homes may prove crucial should a primary worksite become inaccessible.

2.3.7 VALIDATION AND CONTINUOUS UPGRADING

As part of the overall business resumption process, all plans must be exercised to confirm whether they are effective. Plans will have to be regularly updated to conform to a lessons learned process. Validation cannot be a 'one time' process.

2.3.8 COORDINATION

Coordination will be a key element to all BRPs. Coordination is necessary throughout the planning process and will be the primary responsibility of business resumption teams during activation and implementation of plans.

2.3.9 COMPARTMENTALIZATION AND INTERCHANGEABILITY

Compartmentalization of plans is necessary to account for the diversity in services, organizational characteristics, and geographic positioning of departments. Interchangeability refers to the ability to remove components of a departmental BRP to accommodate reorganization initiatives.

3 RESUMPTION PLANNING SEQUENCE

The following steps are generally sequential; however, several of them will be conducted simultaneously. Several of the steps will normally be continuous.

Step 1 - Gain the concurrence of departmental executive management.

Step 2 - Develop a Departmental business resumption policy.

Step 3 - Promote departmental awareness and communicate a policy statement *(senior management concurrence).*

Step 4 - Assemble a BRP Team and establish a planning structure.

Step 5 - Establish a planning timetable *(senior management concurrence).*

Step 6 - Identify, categorize, and prioritize your critical, vital, necessary and desired services. A departmental review of services may be conducted if clarification of departmental services is necessary (*senior management concurrence*).

Step 7 - Conduct a Risk Assessment.

Step 8 - Design and write the business resumption plan.

Step 9 - Confirm business resumption management protocols, conducted in conjunction with Step 8 (*senior management concurrence*).

Step 10 - Design and implement a departmental business resumption training program for initial team training and ongoing training (*senior management concurrence*).

Step 11 - Design and implement BRP maintenance protocols.

Step 12 - Design, coordinate and implement an exercise and validation process (*senior management concurrence).*

Senior management concurrence is repeatedly included in the above sequence simply as a reminder that most of these steps will lead to the expenditure of resources, implementation of policy and directives, and result in the assignment of significant responsibilities throughout a department.

3.1 DEPARTMENTAL EXECUTIVE CONCURRENCE
(Step 1)

Business resumption planning will only succeed through the informed support of the organization's executive management. The designated Business Resumption Team Manager will require direct access to the Executive Committee to ensure the free flow of information and to gain the concurrence of the organization. Ultimately, like all other planning processes within an organization, executive management is responsible for successful results. Senior management concurrence should be continuous throughout a business resumption process; however, decisions regarding the following key elements of business resumption must come from an Executive Committee:

- Confirmation of a business resumption policy.
- Confirmation and approval of a department's essential services.
- Acceptance of a completed BRP.
- Approval of business resumption protocols, e.g., activation and implementation steps.
- Approval of the scope of BRP exercising and validation.

3.2 BUSINESS RESUMPTION PLANNING POLICY
(Step 2)

3.2.1 POLICY STATEMENT

Departments may find the promulgation of a policy statement supporting a BRP development program extremely useful for initiating their project. Not only will a policy statement provide clear direction, it reaffirms the commitment of senior management to ensuring BRPs are successfully completed. Some recommended components of your Departmental Policy Statement include the following:

- A description of the BRP.
- Why the BRP is being developed.
- Reinforcement of the plan's role in ensuring the continuation of the department's essential services.
- Brief outline of the department's critical services.
- General expectations of specific organizations.
- Outline of future activities.

3.3 PROMOTING DEPARTMENTAL AWARENESS
(Step 3)

The most effective means of raising departmental awareness of business resumption is known best by those within that organization. Methods of raising awareness include: surveys and questionnaires, briefings, distribution of newsletters via electronic and mail distribution, focus groups, and staff meetings. Regardless of the methods chosen, it is recommended that the Business Resumption Team Manager implement an information and awareness program as soon as possible.

Raising awareness achieves and supports numerous overall planning objectives, including:

- Gaining consensus.
- Obtaining support for future planning initiatives.
- Acquiring knowledge of specific resumption issues that may exist amongst organizations.
- Identifying gaps in current planning or capabilities.
- Assisting in establishing priorities of effort.
- Reinforcing and promoting the concept of buying into BRP development.
- Reinforcing executive management's commitment to the process.

Enclosed, as *Part 1 - Annex A*, is a *Business Review Survey*, designed to raise awareness of business resumption through the use of a questionnaire.

3.4 BRP TEAM ORGANIZATION AND RESPONSIBILITIES
(Step 4)

3.4.1 GENERAL

A business resumption team should have two overarching responsibilities:

- Designing, writing, organizing, exercising and validating the BRP.
- The activation and implementation of the BRP.

These two wide-ranging responsibilities are distinguishable by the activation of the BRP.

The option remains within your department or organization to have two separate teams to fulfill the above responsibilities; however, factors such as span of control, delegation of responsibility, and continuity promote the choice of assigning both general functions to the same team.

3.4.2 ORGANIZATIONAL CONSIDERATIONS

The organization of a business resumption team may be based on three general concepts:

- *Service based* – services provided to citizens and partners.
- *Resource based* – includes systems, personnel and outputs.
- *Infrastructure based* – focuses on specific sites, facilities, and buildings.

Of the three options for a business resumption team organization, a serviced based team will likely prove most effective, as it is the easiest way of selecting personnel with the expertise to address your organizations essential services. Of the three concepts, an organization is likely to experience change in responsibilities the least, in comparison to infrastructure and resources.

3.4.2.1 Shared Infrastructure

Within the Government of Alberta, there are numerous agencies from different departments that share the same infrastructure and facilities. This may cause significant coordination problems during a business resumption process in determining which agency, at that specific location, takes the lead in assigning resources. The lead agency should be identified in applicable plans.

3.4.2.2 Factors Affecting BRP Organization

Numerous factors will influence your decisions on how to organize your business resumption teams. These factors include, but are not limited to, the following:

- Priority of services at all levels of organization.
- Geographic location, dispersion and density of assets.
- Diversity of services within a department.
- Human and material resource constraints.

3.4.2.3 The BRP Team

The diversity and dispersed nature of departments shall determine the organization of each BRP Team within the government. *Part 1 - Figure 3* (page 13) is a general business resumption team organization that can be adopted at departmental, division and branch levels of organizations.

3.4.2.4 The Centralized Resumption Organization

This model is suited for organizations in which the majority of personnel and infrastructure is concentrated, such as a single office building or series of buildings within close proximity of each other. *Part 1 - Figure 4* (page 14) illustrates a centralized resumption team.

3.4.2.5 The Decentralized Resumption Organization

This model applies to those departments that are characterized by geographic dispersion. It would be impractical to expect various components of a resumption team to converge on a regular basis if significant distances separate various subordinate organizations. This model also applies to those departments whose services are significantly diverse. *Part 1 - Figure 5* (page 15) illustrates a decentralized resumption team organization.

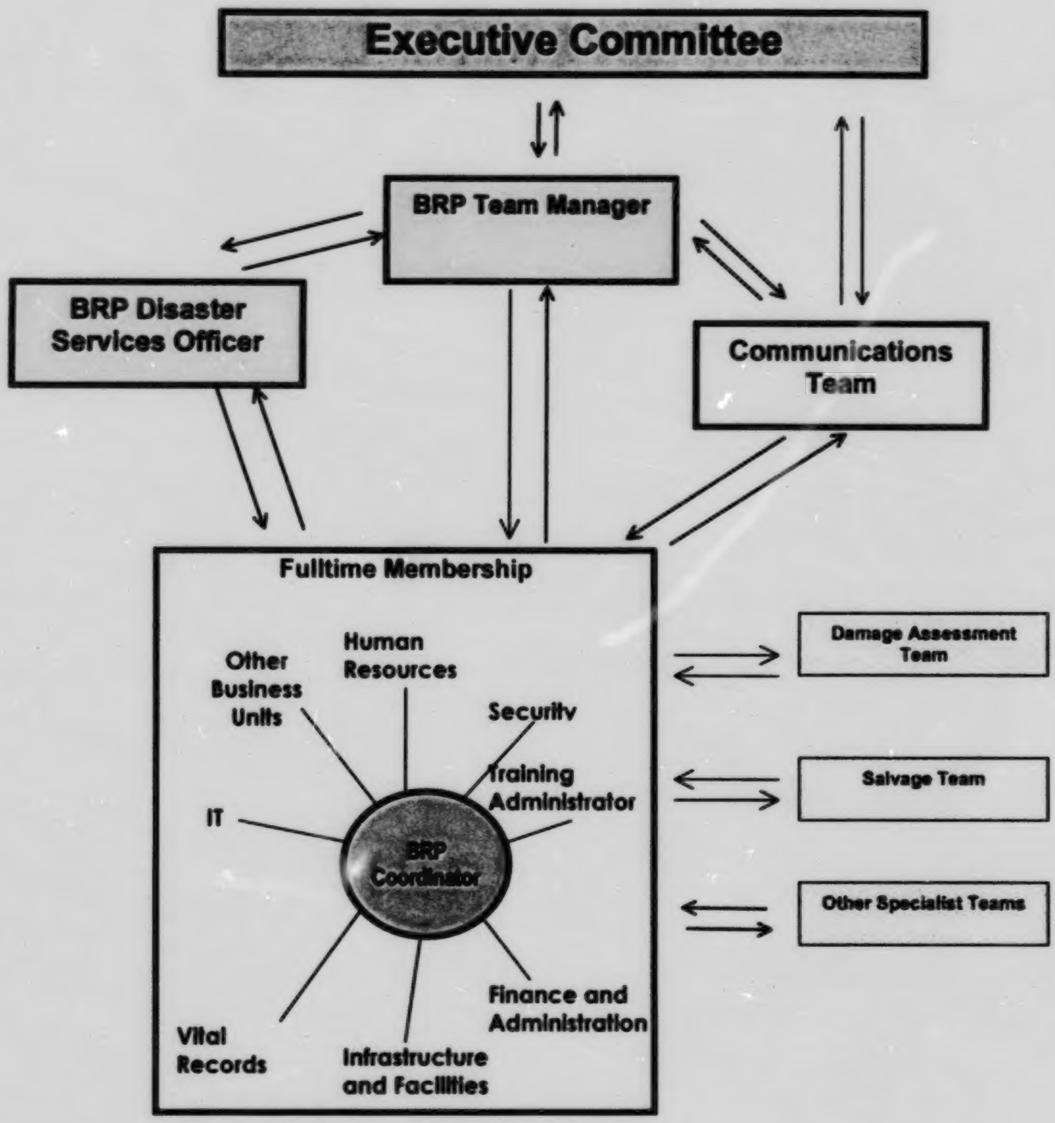
3.4.2.6 External Stakeholders

It is important to remember that a department may not be capable of conducting business resumption planning in isolation. Specific consideration should be given to ensuring that coordination is done with other governmental departments. Coordination is essential with external service providers to ensure that they will be able to meet any contractual demands for service. As well, the BRP Team should challenge assumptions regarding levels of service or availability from non-contractual stakeholders and partners.

BUSINESS RESUMPTION TEAM

Team Structure

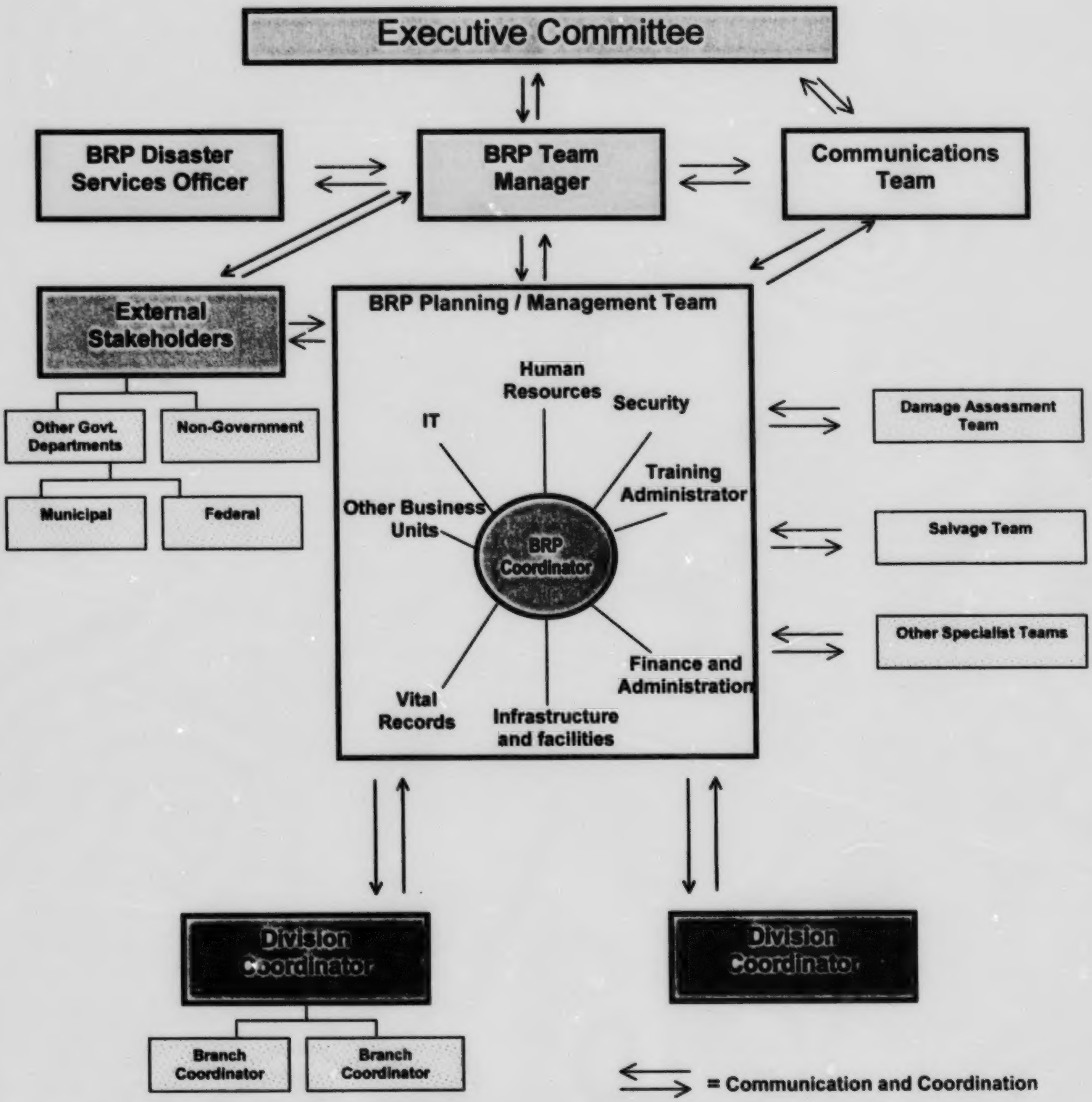
(Figure 3)


Executive Committee
BRP Team Manager
BRP Disaster Services Officer
Communications Team
Fulltime Membership
Other Business Units
Human Resources
Security
Training Administrator
IT
BRP Coordinator
Vital Records
Infrastructure and Facilities
Finance and Administration
Damage Assessment Team
Salvage Team
Other Specialist Teams

CENTRALIZED ORGANIZATION

Team Structure

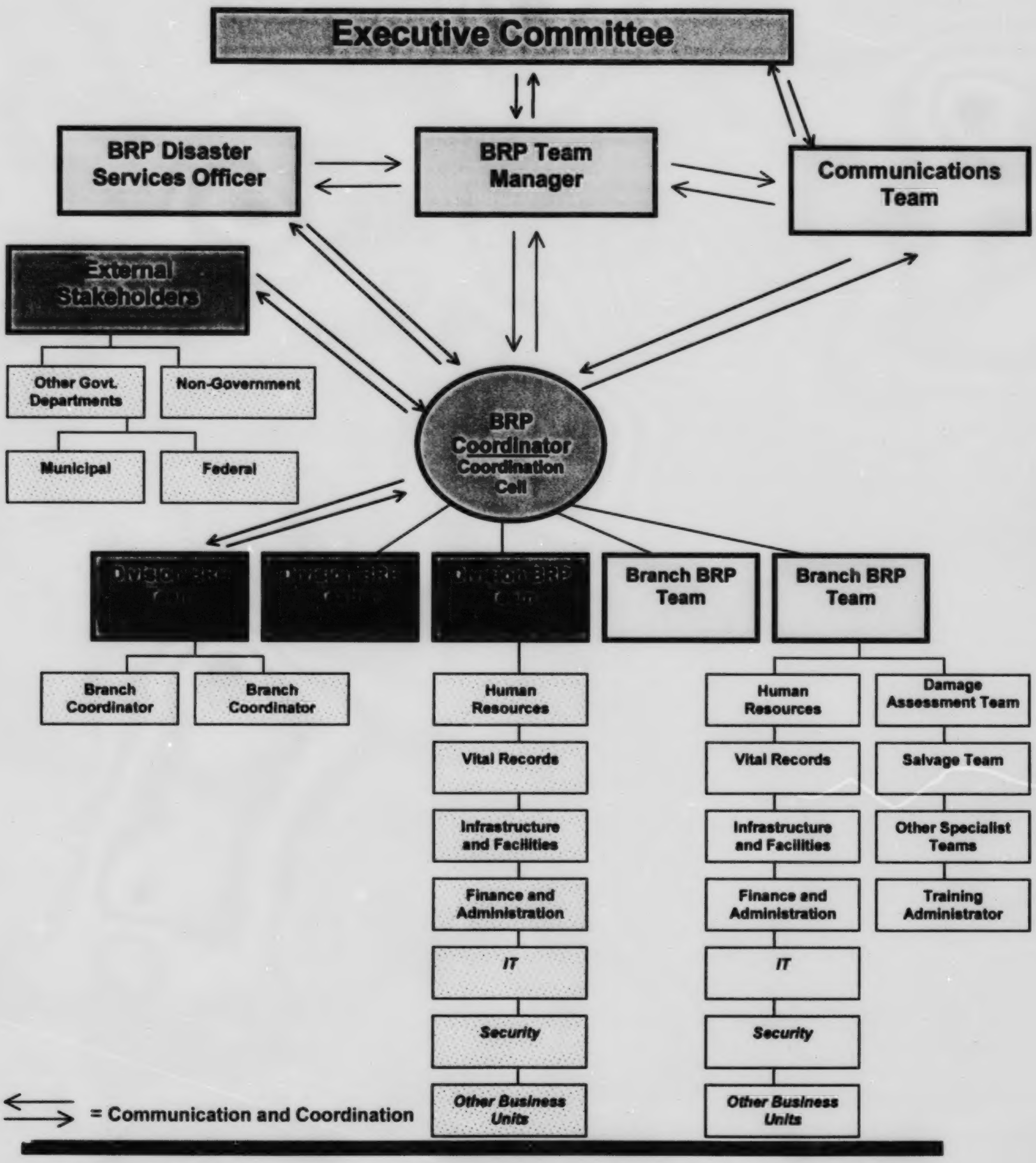
(Figure 4)


Executive Committee
BRP Disaster Services Officer
BRP Team Manager
Communications Team
External Stakeholders
Other Govt. Departments
Non-Government
Municipal
Federal
BRP Planning / Management Team
Human Resources
Security
IT
Training Administrator
Other Business Units
BRP Coordinator
Finance and Administration
Vital Records
Infrastructure and facilities
Damage Assessment Team
Salvage Team
Other Specialist Teams
Division Coordinator
Division Coordinator
Branch Coordinator
Branch Coordinator
= Communication and Coordination

DECENTRALIZED ORGANIZATION

Team Structure

(Figure 5)


Executive Committee
BRP Disaster Services Officer
BRP Team Manager
Communications Team
External Stakeholders
Other Govt. Departments
Non-Government
Municipal
Federal
BRP Coordinator
Coordination Cell
Division BRP Cell
Division BRP Cell
Division BRP Cell
Branch BRP Team
Branch BRP Team
Branch Coordinator
Branch Coordinator
Human Resources
Vital Records
Infrastructure and Facilities
Finance and Administration
IT
Security
Other Business Units
Human Resources
Vital Records
Infrastructure and Facilities
Finance and Administration
IT
Security
Other Business Units
Damage Assessment Team
Salvage Team
Other Specialist Teams
Training Administrator
= Communication and Coordination

3.4.3 ORGANIZATIONAL RESPONSIBILITIES

3.4.3.1 General

Departments have the overall responsibility to oversee the development and implementation of all BRPs of subsidiary organizations. All organizations within a department have a responsibility to develop, coordinate, promulgate, exercise and implement their applicable BRPs in accordance with departmental policy. Those organizations, as determined through both direction from, and in consultation with the Departmental Executive Committee and Business Resumption Team Manager, are responsible for the following:

- Determination of the overall departmental critical services.
- Coordination and production of the department, division, branch and other organizational BRPs.
- Selection and training of BRP team members, including alternates.
- Coordination of the activities of subsidiary organizations.

Departmental activities can be formalized in three distinct phases. While these phases are generic in nature, they will assist in ensuring that specific duties and responsibilities are considered. These include:

3.4.3.1.1 Phase I – Preparation

This section describes the major activities the organization should perform to maintain a state of readiness. Note that some of these tasks need only to be performed once, while others may need to be repeated for each BRP update, or after each BRP use. It is anticipated that all will be reviewed for relevance on a regular basis.

- Compile and maintain a detailed list of all necessary physical equipment and supplies needed at an alternate site.
- Compile and maintain a list of all vital records that may have to be moved, or pre-positioned if threatened by the aftermath of an incident.
- Draw up a detailed floor plan of the existing floor space to assist with the move back to the original site.
- Keep an up-to-date listing of all home phone numbers for all key staff.
- Keep an up-to-date listing of all computer applications used by staff. A copy of these programs should be available off-site.
- Produce sufficient copies of all checklists for distribution of assignments during an actual business interruption.

- Ensure that sufficient copies of the BRP are distributed to Senior Management and to the various members of the Business Resumption Team.

- Ensure that liaison is conducted with external department resources to ensure that business resumption planning is complete and considers the worst possible scenarios.

3.4.2.1.2 Phase II – During

The BRP Team Manager is expected to provide the Executive Committee with regular updates on resumption activities. The timings and frequency for reporting should be established as a predetermined procedure. Initially, reporting need not be formally structured, as long as some consistency exists in reports. However, a more formalized report should be provided before resumption of normal business. Topics to consider during these updates include the ability of the department to provide its various levels of essential services, any issues that require immediate consideration, issues for consideration after the resumption of normal activities, and progress of restoration efforts. Reported activities should include:

- Report status informally to the Executive Committee on a regular basis, and respond to, and follow up on any suggestions for improvements that should be conducted or initiated before the next BRP evaluation and update phase.

- Ensure that operations, in accordance with the established priority list, carry on as usual at the temporary location.

- Communicate with building management and any other appropriate administrative services regarding the status of facilities restoration at the normal site.

- Continue to provide updates to customers and external stakeholders in regards to the status of your resumption and recovery operations.

- Continue to provide updates to all personnel within the Department and ensure that proper care and treatment is being provided to all employees of the Department.

3.4.3.1.3 Phase III - After

- Maintain communications with external stakeholders, including reports describing the achieved levels of normalcy in services.
- Return any forwarded phones to their normal numbers; re-record (a reminder may be required) any outgoing messages.
- Organize the move of any equipment and files that were used at the alternate site.
- Confirm with information technology services and other agencies that the local area network and telecom systems are functional again.
- Ensure that the staff understands the timings to vacate the temporary office and when the permanent office facilities will be operational.

3.4.3.2 Individual Responsibilities

3.4.3.2.1 Business Resumption Team Manager

Senior management should appoint this position. During the development of the BRP, the Business Resumption Team Manager leads the Business Resumption Team, facilitates overall planning, and provides ongoing liaison with senior management. Once the plan is established, the Business Resumption Team Manager will have other specific duties related to the maintenance of the plan, managing the Resumption Operations Centre (ROC), and coordinating activities following an incident.

It is preferred that the departmental, division and branch Emergency Planning Officers (EPO) not be assigned the duties of the Business Resumption Team Manager or the Plan Coordinator. As the EPOs will likely have disaster response responsibilities, they may not be available to lead or assist the Business Resumption Team.

3.4.3.2.2 Business Resumption Team Coordinator

The Team Coordinator is responsible for establishing and overseeing the activities of the ROC. The primary planning tasks are:

- Facilitating meetings of the Business Resumption Team.
- Locating a ROC and an alternate that is off site.
- Determining the resource requirements for the ROC.
- Providing updates on planning progress, as required, to the Business Resumption Team Manager.
- Coordinating training activities and disseminating information within the organization.
- Overseeing exercises and training activities.

- Being responsible for the coordination of the annual plan review and completion of appropriate amendments.

3.4.3.2.3 Security Coordinator

The Security Coordinator is responsible for the provision of security at the alternate site of operations and at the damaged site in order to meet public safety requirements and to safeguard any remaining resources. Specific planning responsibilities include:

- The maintenance of a list of those organizations that can supply security resources or expertise as required.
- The development of security plans for both the damaged and new sites of operations.
- The establishment of a personnel identification system.

3.4.3.2.4 Infrastructure and Facilities Coordinator

The Infrastructure and Facilities Coordinator is responsible for establishing a site of operations. Depending on the circumstances surrounding the incident, this may involve clean up and repair of the damaged site or relocation to an alternate site. Responsibilities include:

- Overseeing and coordinating the assignment of alternate facilities.
- Maintaining a list of building inspectors.
- Maintaining a list of reliable and qualified contractors to:
    - Clean up and repair the damaged site to return it to use as quickly as possible.
    - Make temporary repairs to the damaged facility to ensure that it is secure and to prevent damage from the elements or from theft.
    - Assist in the establishment of the alternate site.
- Locating and maintaining a list of potential alternate sites.

3.4.3.2.5 *Human Resources Coordinator*

The Human Resources (HR) Coordinator is responsible for overseeing all employee concerns and managing a personnel pool that can be used to meet any special needs caused by the incident. The HR Coordinator is responsible for:

- Maintaining an up-to-date contact list of all employees.
- Maintaining a list of agencies that can supply temporary staff as required, including sources of specialized personnel.
- Developing a system for managing a post event resource pool.
- Maintaining a list of sources for workplace health and safety advice and post-incident counseling.
- Planning for other anticipated personnel concerns (payroll, daycare, and transportation).
- Maintaining a list of current job descriptions so that unavailable staff can be replaced if necessary.

3.4.3.2.6 *Information Technology Coordinator*

The Information Technology Coordinator is responsible for aspects of information technology within the department, including:

- Maintaining a list of local suppliers for all essential resources.
- Maintaining a list of alternate suppliers outside the region for all essential resources.
- Maintaining a list of qualified contractors for specialized installations.
- Maintaining a list of all current assets and their locations.
- Determining resources needed to implement BRP.

3.4.3.2.7 *Communications Coordinator*

The Communications Coordinator is part of the executive group and works closely with the BRP Coordinator to develop and deliver the appropriate and accurate information to the public. This position's responsibilities include:

- Developing an information program plan.
- Determining resource needs to implement all aspects of an information package.
- Ensuring that the primary and alternate spokespeople have sufficient training to undertake the tasks.

3.4.3.2.8 Finance and Administration Coordinator

The Finance and Administration Coordinator is responsible for insurance issues and for authorizing funds in conjunction with the Executive Control Group. This position:

- Ensures that appropriate insurance coverage exists and maintains a list of all insurance policies and contacts.
- Maintains a list of current assets for insurance purposes.

3.4.3.2.9 Equipment and Supplies Coordinator

The loss of equipment and supplies required to carry out essential services is a common impact and may represent one of the largest challenges faced by the ROC. Specific items such as furnishings, production equipment, office supplies, availability of utilities, and supporting materials are items the Coordinator and the team will have to consider. This position's responsibilities include:

- Maintaining a list of local suppliers for all essential resources.
- Maintaining a list of alternate suppliers outside of the region that can provide the essential resources.
- Working with the BRP Coordinator, maintaining lists of minimum material requirements for all critical and essential services.
- Liaising with the Infrastructure and Facilities Coordinator.

3.4.3.2.10 Vital Records Coordinator

Existing members of your business resumption team might assume this position; however, the volume of information and scope of services within your department may require a dedicated representative. Specific duties of the Vital Records Coordinator may include:

- Identifying and prioritizing all electronic and paper vital records.
- Pre-positioning and transfer (if necessary) of vital records to alternate locations.
- Maintaining a list of essential personnel involved in vital records control.

3.4.3.2.11 Damage Assessment and Salvage Teams

Working with the Infrastructure and Facilities Coordinator, the Damage Assessment Team will conduct a quick, initial estimate of the situation and report its findings to the ROC. After the assessment has been completed and reported to the ROC, salvage operations can begin as directed by the ROC. These teams are responsible for:

- The coordination and training of damage assessment team(s). Their composition will likely consist of representatives from various organizations within a department, division, and branch. The number of teams required will likely be based on the nature of business of a department and the geographic location of essential facilities.
- Preparing an Incident Response Kit to include tags that identify equipment by status (readily useable, minor repairs required, major repairs required, useable, etc).
- Developing and maintaining a list of contractors who specialize in damage assessment and salvage.
- Developing and maintaining a list of contractors who can repair or replace damaged resources.
- Liaising with emergency officials and property managers to ensure their understanding of the duties and services of the damage assessment team.
- Ensuring the damage assessment and salvage teams know exactly what facilities, equipment or resources need to be assessed and recovered, if necessary.
- Coordinate aspects of site access with first response agencies if necessary.

Refer to *Part 2 - Annex A* for Activity Sheets that describe individual responsibilities.

3.5 PLAN DEVELOPMENT AND TIMETABLE
(Step 5)

The reasons and authority for developing a BRP have been previously articulated, both in this guide and in legislation. Key to this will be the establishment of an effective plan development schedule. The Business Resumption Team Manager must first and foremost consider the overall requirements of the Department in the selection of members of the Business Resumption Team. Representation from all the departmental services is critical to ensuring that the plan can be developed in sufficient detail to ensure all aspects of the Department's operations are considered.

Once the departmental team has been created, it will be essential to ensure that they are all aware of the processes involved in business resumption planning, their respective responsibilities, and that appropriate training is provided to them as necessary. Concurrently, it will be important to establish a schedule of activities that will permit sufficient time to effect liaison and coordination with the various sections/branches/divisions/sectors within the Department to obtain their feedback in regards to the categorization and prioritization of services that they provide.

It is recommended that business resumption teams convene on a regular basis in order to provide an update on the progress of the respective Team members and to review the process for completion of the BRP. The schedule of meetings can be determined by considering the following items: deadlines imposed by Senior Management, current progress, work schedules of Team members, and other departmental priorities. Sufficient time must also be allocated to ensure that the plan can be properly reviewed, amended, consolidated and distributed.

Plan development must also consider that this will be a work in progress. There will be a requirement to meet with the members of the BRP Team on a regular basis, and this can be established based on training requirements, exercise and validation timings and maintenance procedures. In addition, consideration must be taken with regards to providing time for training for all members of the Department.

Enclosed, as *Part 1 - Annex B*, is a recommended *Plan Development Checklist*, designed to assist the Business Resumption Team Manager and Coordinator in identifying essential steps in the overall business resumption planning process.

3.5.1 PLAN DESIGN AND CONSTRUCTION

Recommended layout and organization options include, but are not limited to:

- The complete departmental plan in one document based only on department priorities.
- A plan based primarily on subsidiary BRPs with an introduction that links them together.
- A departmental plan with executive summaries of all subsidiary plans included.

The latter option is recommended with a detailed template provided as Part 2 of the *Business Resumption Guide*. The template, as it is described below, is viewed as the optimum model; however, it is also recognized that a generic template may not work perfectly for every situation. Adjustments may have to be made by each department. The following is a description of the various sections of the template:

- **Section One -** All vital information.
- **Section Two -** Policy statement, a glossary, the BR team and detailed contact information for team members.
- **Section Three -** Detailed risk analysis.
- **Section Four -** Business impact analysis and the categorized and prioritized summary of all services, and worksheets for each service detailing the resources required for resumption.
- **Section Five -** Assessment of resumption activities that will lead the department to resuming critical and vital services in as quickly as possible.
- **Section Six -** Consists of numerous executive summaries of all the sub-departmental level plans be they division, branch or smaller.

- **Section Seven** - Training concepts describing training that will be conducted within a department and instructions on maintenance and currency of the plan.

- **Section Eight** - Validation and exercise concepts to ensure that the plan remains relevant and effective.

Recognizing the desire of most BRP Team Managers to hold a paper copy of the departmental plan as a single document for the office and/or at home, the template is designed to focus on information at the departmental level. However, section six was created to include division, branch or lower organizational level plans. Given that many of the lower level plans may be extensive in content; it is emphasized that entire subsidiary plans need not be included, but, an executive summary of each subsidiary plan should be. Sufficient information to facilitate understanding of activities by the Business Resumption Team may include:

- Vital information relevant to the subsidiary level much as you would find for the department in section one.

- Subordinate level business resumption team contact information and responsibilities.

- Key risk assessment deductions.

- A copy of critical service business impact analysis worksheets.

- The intended activation process including intended priority of effort and an explanation of the overall resumption concept.

- Specific training schedules.

- Maintenance schedules and update responsibilities; and a copy of the progressive exercise and validation plan.

3.5.2 PLAN COMMUNICATION AND DISSEMINATION

Time permitting, elements of the plan should be distributed for review by as many departmental, division and branch staff as possible. Although this process will likely slow the overall production schedule initially, it is likely that overall, time and resources will be saved as a result of the input of the various fields of expertise within your organization.

The completed and approved BRP should be communicated to all applicable staff. Options for plan dissemination could include the following mediums:

- Staff information briefings
- Electronic newsletters
- Training sessions

Regardless of the medium chosen to communicate elements of your BRP, it is recommended that this activity be incorporated into your overall, ongoing training plan.

Consideration should be given to the extent of dissemination of your BRP. All necessary participants will require a copy; however, the number of distributed copies of your BRP will influence your maintenance plan, particularly the requirement to distribute amendments.

Copies of the BRP should be secured at different geographic locations.

3.6 CATEGORIZATION AND PRIORITIZATION OF SERVICES
(Step 6)

The key to successful business resumption planning includes the ability to define the nature of business services. Assuming that business resumption is a necessary step that sets the stage for the establishment of normal conditions after an interruption, the primacy of critical services should influence all aspects of resumption planning and management. The definition of critical services may be contained in a department's mission statement and goals, which can be found in business and emergency plans and may be legislated.

Services must be determined at all organizational levels. Critical, vital, necessary and desired services will exist at all levels. In the process of assembling and collating the various services that encompass the department, retaining critical services at various levels of the organization should not affect the overall identification of services at higher levels. The responsibility of determining departmental-level services remains at the most senior level of the department.

3.6.1 SERVICES CATEGORIES

3.6.1.1 Critical

Reserved for services that must be provided *immediately* or will *definitely* result in the loss of life, infrastructure destruction, loss of confidence in the government, and significant loss of revenue. These services normally require resumption *within 24 hours* of interruption.

3.6.1.2 Vital

Applies to services that must be provided *within 72 hours* or will *likely* result in loss of life, infrastructure destruction, loss of confidence in the government, and significant loss of revenue or disproportionate recovery costs.

3.6.1.3 Necessary

Those services that must be resumed within two weeks, or could result in considerable loss, further destruction or disproportionate recovery costs.

3.6.1.4 Desired

Are those services that, *could be delayed for two weeks or longer, but are required* in order to return to normal operating conditions and alleviate further disruption or disturbance to normal conditions.

3.6.2 INTERRUPTION IMPACT FACTORS

This list represents the potential organizational impact as a result of the interruption of essential government services. It is not intended to be exhaustive and should be amended and prioritized by each department to reflect the specific nature of their responsibilities.

- Loss of life.
- Disruption of service to the public.
- Significant damage to or total loss of infrastructure.
- Significant loss of revenue.
- Significant loss of public funds.
- Disproportionate recovery costs.
- Loss of public confidence.
- Loss of vital records.
- Loss of expertise.
- Loss of national or international confidence.
- Disruption of service to other government departments and non-government organizations.
- Disruption of obligations to employees.

Enclosed, as *Part 1 - Annex C*, is a *Departmental Services Categorization Sheet*. To assist your department, should you choose to conduct a review of your essential services, The Business Resumption Planning Directorate has prepared a Departmental Services Categorization Guide. The enclosed format considers departmental services in four categories: *critical*, *vital*, *necessary* and *desired*. It measures departmental services by comparing an impact continuum of interruption against a time continuum. This format has been purposely designed to be generic, acknowledging the diverse nature of the various departments' services. It is recognized that other essential services assessment models exist that may be more suited for your department or organization. The enclosed format is intended as an example of possible models that could be used in this important step in the business resumption planning process.

Once the services are categorized, they should be prioritized within the category to establish the order in which they must be restored and the maximum time allowable for restorations. Should insufficient resources exist to restore all services within a category, the detailed prioritization will pre-determine the limited services a department may be capable of restoring.

3.6.3 FACTORS AFFECTING CRITICAL SERVICES

Additional factors that may be considered in prioritizing services within a category might include, but are not limited to, the following:

- Immediate external obligations.
- Immediate internal obligations.
- Communication demands (responsibilities of key personnel).
- Dependencies on other departments, service providers or agencies.
- Other departments, companies or agencies dependent on your services.
- Contractual obligations and liabilities.
- First response obligations.
- Length of time each of the services remains disrupted.
- Access to essential information.
- Minimum manpower required to accomplish the service (Who? How many? When? Where?).

The completion of service categorization and prioritization will ensure that a department is well prepared to complete the key components of the BRP.

A helpful component of the categorization and prioritization process is to summarize your findings, e.g. all services listed on a single, easily legible format. *Part 1 - Annex D* is an example of a *Departmental Services Summary*.

3.7 THE RISK ASSESSMENT
(Step 7)

The risk assessment is an important aspect of the business resumption planning process. It is this process that will enable all organizations to identify and minimize the exposures to certain threats that an organization may experience. What hazards can cause the most damage to your facility and your operations? What is the nature of damages? Can you do anything to reduce the impacts of those hazards?

When considering risks, the specifics of the event are important only in that they will help you determine the severity and extent of the disruption to your business. Your BRP must focus on how your department will cope with that disruption.

The information contained in this document is not the sole solution to the risk assessment process, nor is one likely to be developed; however, what it does provide are some planning tools and a guideline for business resumption teams to use in the development of the Departmental BRPs.

A BRP should be effective regardless of the nature of the hazard or disaster that has affected the organization. While a formalized Risk Assessment process is not essential for the creation of a plan, it has been included in the BRP process in order to provide all BRP Coordinators with a means to gain a better understanding of the types and degrees of risk that their organization may face. The objectives of this risk assessment are:

- Identify the various risks faced by an organization.
- Identify the requirements of an organization to resume or continue its services.
- Identify the general impact on the organization, both serviceably and financially, of an occurrence of the risks.
- Identify a preliminary estimate of the costs to the organization to establish effective controls to reduce the risks.
- Establish priorities to address identified risks.

3.7.1 RISKS DEFINED

For the purpose of this guidance, risk is defined as the probability or likelihood of occurrence of a hazardous event of defined consequences, e.g. **'probability of x destroying y'.**

The risk assessment guidelines proposed are not intended to provide a quantitative value to the relative ranking of the risk faced by the organization. They are designed to provide an organization with a systematic method of considering its various risk factors and, when they are recognized, of identifying the steps needed to reduce the level of risk associated with each of the factors. An alternate method is to use a numerical rating to assess each of the potential hazards or risks that may impact on the Department. Using a scale of 1 to 5, (with 1 representing the lowest probability and 5 the highest probability), those conducting the Risk Assessment can quantify their assessment of each threat. A numerical assessment may assist in identifying and sorting the most likely risks facing the organization.

3.7.2 IDENTIFICATION OF THE RISKS

The first step in the risk assessment process is to identify those hazards that could impact upon your organization and, as such, needs to be included in the process. A proposed list of the more common hazards present in Alberta has been included on the *Risk Assessment Worksheet* presented in *Part 1 - Annex E*. This list is not all-inclusive and every organization is encouraged to identify other potential hazards that may impact on its specific organization.

3.7.3 EVALUATION OF THE RISKS

The attached Risk Assessment Worksheet (*Annex E*) covers four (4) specific areas. It is recommended that each hazard, under its respective area, be rated as **low (1 to 2)**, **medium (3)** or **high (4 to 5)**. Guidelines for the rating of respective areas are shown below:

3.7.3.1 Probability

This indicates the relative probability of the event occurring (based either on history or an estimate) in sufficient proximity to affect your organization. Some of the hazards, particularly human, may be very difficult to anticipate. Items to consider include geographic location, topography of the local area, proximity to power sources, water bodies, airports, degree of accessibility to your organization, history of the area to natural threats, and proximity to major highways that transport hazardous waste and combustible products. Probability can be measured with the following frequency scale:

- *Low* – probability of occurrence: 5 years or less frequently.
- *Medium* – probability of occurrence: between 3 to 5 years.
- *High* – probability of occurrence: within 1 to 3 years.

3.7.3.2 Safety

The relative safety that the hazard represents to personnel or clients can be measured in terms of impact on individuals and groups as follows:

- *Low* – event occurrence unlikely to kill or injure.
- *Medium* – event occurrence likely to cause possible injury or possibly death.
- *High* – event occurrence likely to cause many injuries and some fatalities.

3.7.3.3 Resources

This represents the relative threat to resources other than personnel. What is the potential for property loss and damage? Are there contractual or other legal obligations that must be met?

- *Low* – no damage, or sensitive resources damaged others receiving minor or no damage.
- *Medium* – moderate damage to most resources.
- *High* – all or most resources seriously damaged or destroyed.

3.7.3.4 Services

Consider the effects that the hazard may have on the business services, excluding the impact on resources or safety. These will likely fall into two categories:

3.7.3.4.1 External Effects:

Result of loss of service due to hazard impact to the surrounding region or community (transportation system has been interrupted which will have an impact on supply acquisition and delivery). Will external resources be able to respond to this emergency when you need them, or will they have priority areas to serve?

3.7.3.4.2 Internal Effects:

Impacts on services at specific work locations, without damage to resources or personnel safety (e.g. computer virus). These two categories are depicted in the context of time as follows:

- *Low* – negligible to minor disruption: short periodic delays to services.
- *Medium* – moderate disruption: loss of service for several days.
- *High* – major disruption: isolation from critical inputs or outputs for days or weeks.

If you have more than one facility, this type of assessment should be done for each location. In addition, a risk assessment should be done at the operational department, division and branch levels to ensure complete coverage.

The Risk Assessment Worksheet (*Annex E*) will provide the BRP Team with the opportunity to carefully and criticaliy examine the threat potential within each member's respective area and through this process; the team members will be able to assess each of the Department's critical services against the likelihood of a threat impacting on these services. The completion of the Risk Assessment Worksheet will not guarantee the successful completion of a Departmental BRP.

3.8 THE BUSINESS RESUMPTION PLAN
(Step 8)

3.8.1 VITAL INFORMATION

The successful activation and implementation of your BRP should include the following information:

- Information pertaining the departmental Resumption Team Manager and Coordinator. This includes contact information as well as the identification of alternates.
- Plan activation sequence of events. This can be a simple graphic description with explanation.
- Activation criteria.
- List of succession of key appointments of authority.
- Location of BRPs.

This information should be placed at the front of your plan, readily available to the user. As part of your plan maintenance schedule, this part is the most critical in terms of accuracy.

3.8.2 THE BUSINESS IMPACT ANALYSIS

3.8.2.1 General

The business impact analysis is a process of confirming the order in which essential services should be resumed and exactly what resources are required to facilitate their resumption.

3.8.2.2 Assumptions

Assumptions should be listed early to establish the framework for the planning team.

Assumptions should be strictly controlled and substantiated by documentary proof (i.e. historical statistics, a copy of a directive letter or memorandum of agreement/understanding denoting that a specific responsibility is handled by another agency).

3.8.2.3 Services

A component of the impact analysis process is the categorization and prioritization of all business services down to the lowest operational impact, an exercise completed at Step 6.

A *Business Impact Analysis Services Worksheet* is included at *Part 1 - Annex F* to assist you in the process of impact analysis.

It is recommended that your BR Team, or other selected members of the department, determine the minimum level of performance needed to reasonably restore each service. The creation of a short statement describing the minimum standard should be added to the worksheet, which will assist you in determining the following details:

- Minimum infrastructure requirements (buildings/offices).
- Minimum communication equipment requirements.
- Minimum office support equipment requirements (furniture, computer hardware, software, networks, databases).
- Minimum information and research material.
- Personnel requirements (identify specific individuals required to fulfill the critical and essential services only).
- Minimum transportation requirements (if any).
- Any other requirements necessary to resume the service.

Once complete, each service should be summarized on a single worksheet of one or two pages. The worksheets may prove to be a useful tool in conducting reviews of your department's services, throughout your BRP process.

A detailed knowledge of each service is essential in conducting a business impact analysis. With that in mind, the Business Resumption Team may choose to disseminate the service worksheets to various levels of the department's organizations. The BRP team should subsequently review each worksheet for consistency and relativity to the category and priority assigned to the service.

In the event of a disruption, and once the extent of the disruption is known, a study of the worksheets will determine any duplication of resource requirements and assist the department in reducing waste in the resumption process. In effect, the review of the worksheets will assist in prioritizing and assigning scarce resources.

Generally, an effective business impact analysis allows business resumption planners to address: *who, what, where,* and *when* questions with regards to resource commitment. It initiates a prioritization process that requires significant consideration and decisions regarding resource allocation.

3.8.3 IDENTIFY RESUMPTION ACTIVITIES

In identifying resumption activities, a BRP Team systematically identifies the administrative actions needed to assist with the restoration of critical services. Considerations in determining resumption activities include:

- The lead agency, including individual responsibility, assigned to the activity.
- The various department, division and branch requirements.
- Identifying internal resource requirements.
- Identifying external resource requirements.
- The time needed to acquire and initiate a specific activity.
- The cost of all necessary resources.
- Deficiencies in resources, time, personnel, etc.

3.8.3.1 Vital Records

It is likely that most, if not all, organizations within the department will require a means of recovery of vital records during an interruption. In most cases, back-ups for vital computer databases already exist, as does the ability to transfer these records when required. However, the volume of records for which various organizations are responsible may require prioritization with regards to recovering only those records that support critical services.

3.8.3.1.1 Vital Records Policy

A vital records policy, if not already in place, should be established to ensure clear guidelines exist for the management of information. Without determining priorities of information, organizations will likely be flooded by data. It is therefore recommended that a vital records policy should mirror an organization's critical services. *If records classified as vital do not directly support an organization's critical services, their value to the resumption process should be questioned.*

Some general considerations that apply to vital records management include:

- Vital records and back-ups should be separated from other data to ensure a simpler and quicker retrieval process.
- Vital record back-ups should be stored at alternate locations.
- Access to vital records should be available 24 hours a day.
- Lists of who may access and retrieve vital records should exist in multiple copies and locations. The Vital Records Coordinator should manage these lists.

- All applicable personnel should know their individual responsibilities with respect to the identification, review, storage and retrieval of vital records.

An essential element of your vital records plan should include a continuous review process, to ensure records retain relevance and through constant use, information remains accessible and does not go missing from essential files.

Enclosed, as *Part 1 - Annex G*, is a *Vital Records Summary Sheet*, designed to assist business resumption teams with identifying and coordinating vital records in the recovery process.

3.8.3.2 Security

Security awareness is necessary regardless of the impact of the incident on an organization. In general terms, security considerations should be organized into two broad categories: *pre-incident preparedness*, and *post-incident response*.

3.8.3.2.1 Pre-interruption Preparedness

The BRP Team should review the overall security of the existing facilities. Points to consider include aspects of accessibility (both during hours of operations and after hours), any physical security measures that have been implemented (card access, security cameras, electronic security measures to safeguard data files, use of security personnel), availability of local emergency services (fire, police, medical) frequency of inspections and surveys to validate existing security measures, and measures to increase and enhance security, as required.

3.8.3.2.2 Post-interruption Response

Once the plan has been activated, the Business Resumption Team will need to consider the security measures pertaining to an alternate site(s) (location, access, transport, awareness, surveillance, police presence), increased security measures at the existing site (if still available, done in conjunction with the Properties Manager/Owner), security of communications systems at the alternate site, security and retrieval of information that may still be located at the old site, media relations, availability of emergency services, liaison with other building occupants, and security of workers.

3.8.3.3 Establishment of An Alternate Business Site

Alternate locations may be needed to initiate the resumption process, including the reinstatement of critical services. All organizational levels must have designated alternate places of business included in their BRP. In considering an alternate worksite, it is important to identify in advance not only a specific location, or locations that you would use, but whether they can provide the minimum requirements in the following areas:

- Sufficient floor space. Keep in mind that your alternate site need only house those staff you have identified to resume essential services.
- Physical security.
- Capability to meet your communications needs. Telephone lines and effective cellular coverage should be confirmed as part of the selection process.
- Ability to access or store your vital records.
- Provide employee needs, including parking, eating and hygiene facilities.
- If the alternate site is to be shared with other agencies, coordination of shared resources.
- Alternate worksite notification procedures for all applicable stakeholders.

When identifying the organizations that would work at the alternate site, planning should account for an efficient layout. Generic floor plans can be prepared to reflect the layout of organizations, regardless of the nature of facility to be occupied.

In some cases, an organization may lack the capacity to positively identify or secure an alternate business site prior to a disruption of services. Should this be the case, as a minimum, that organization should have already identified and documented the minimum resource requirements, including their acquisition and positioning, needed to occupy that alternate site.

Consideration should be given to the possibility, although remote, of the loss of both normal and alternate business sites. A third location should be considered, even if only from a feasibility standpoint. The loss of an alternate site will like be as a result of geographic influences. The third location should, as a rule, be further away from your normal worksite than the alternate site.

3.8.3.4 Prioritization of Resumption Activities

Refer to *Part 1 - Annex H* for a *Business Resumption Activities Summary*.

3.8.3.5 Planning Assistance and Resources

Numerous resources exist to assist the Business Resumption Team Manager and Coordinator in their plan development. The following list, although not exhaustive, provides general information sources and assistance that are available:

- Departmental Business Resumption Team
- Departmental Staff
- Disaster Services – Business Resumption Planning
- Other Government Partners
- Non-Government Agencies
- External Partners
- Consultants
- Commercial Resources
- Internet

3.9 BUSINESS RESUMPTION MANAGEMENT PROTOCOLS
(Step 9)

3.9.1 PLAN ACTIVATION CONSIDERATIONS

3.9.1.1 General

Significant consideration must be committed to the decision to activate a BRP, particularly at the departmental level. Senior management should consider the risks inherent with the delay of activation, and conversely, the precipitated activation of a BRP.

3.9.1.2 Activation

The first few steps in the activation of a plan are often the most important as they set the tone for the Team for the duration of the crisis. First alert procedures are imperative if a department is to convene their BRP team and initiate activities. Procedures must be clear and simple in order to facilitate an organized response in any situation. Planners must remember that a crisis may take place during working or silent hours. Therefore, it is imperative to consider factors such as the identification of a suitable convening location and modes of transportation to that location. Will the initial gathering site ultimately become the ROC? Develop first alert procedures; these must be clear, simple and easily located within your BRP.

Enclosed, as *Part 1 - Annex I*, is a recommended *Activation Flowchart*.

Those individuals activated require the necessary information to ensure they can effectively commence with their initial duties. As a minimum, activated persons should be provided with the following information:

- Confirmation of incident.
- Whether the activation is real or an exercise.
- *Where* the activated persons are to meet.
- *When* the activated persons are to meet.
- Their responsibility to inform others.

3.9.1.3 Initial Briefing

As soon as there is potential for the BRP Team to be activated, the entire Team should be briefed, regardless of the perceived knowledge of the current situation. The telephone is often the first consideration; however, in the event of a crisis, office phones may no longer exist and cellular systems may be overwhelmed with emergency response communications. Managers can ensure redundancy by pre-selecting, in priority, two or three potential assembly sites.

Once assembled, the BRP Team should be informed of *at least* the following:

- A summary of the incident as it is currently known.
- The potential for activation and any guidance provided to the Team Manager by the Executive Committee to that point.
- *Where* the BRP Team is to subsequently meet.
- *When* the BRP Team is to subsequently meet.
- The location of the ROC (if already identified).
- Who should be informed of service disruption within the department, in other departments or external to the government.
- The identification of tasks to be completed or sub-teams/specialist teams that need to be formed prior to the next meeting such as: damage assessment team, communications support, salvage team, accommodation tasks, ROC set up and liaison with the emergency response (EPO).
- Information requirements.

The provision of this information will ensure that the BRP Team has received consistent information enabling it to respond effectively. The extent of the detailed information and tasks delegated to the team will be reflected in the team's success in carrying out BRP activities. If a decision to activate the BRP has yet to be taken, the team may be limited to gathering information and determining a ROC location in the event that the BRP is activated.

3.9.1.4 Succession List

A serious interruption of services, if a result of an emergency or disaster, may have a significant impact on the cohesion and effectiveness of senior and executive personnel. Loss of life, poor communications and displacement of key decision makers may result from an incident. In addition, circumstances may exist where key personnel are geographically disposed, without effective communications or transportation.

Lists of succession are essential to the activation process. Included in these lists should be primary and alternate decision-makers. In addition, a policy should exist that outlines the criteria, including scope of responsibility, for the available senior manager to initiate the activation and implementation of BRPs, if required.

3.9.1.5 Resumption Activation and Implementation Considerations

3.9.1.5.1 Availability and Effectiveness of Employees

Consideration must be given to the availability of personnel during a resumption situation. In the case of unionized workers, negotiation may be necessary to ensure key personnel are available should their conditions of employment change as a result of the activation of the BRP. Employees may be reluctant to work in different geographic locations or under certain conditions that are not part of collective agreements. Conversely, certain employees may be designated as "non-essential" during a resumption process, despite being salaried staff. Implications of personnel disposition during the resumption process may have a significant impact on financial forecasts.

Based on the nature of the interruption, government employees may have to cope with an emotional toll brought on by unnatural, and possibly shocking conditions. All employees, including managers, will react differently under intense emotional and physical duress. Managers should anticipate varied employee reactions to an incident, including shock, unpredictable behavior, negative interpersonal relations, depression and lack of focus.

The three most effective strategies for countering declining performance amongst employees during an emergency or disaster situation is conducting realistic BRP exercises, effective personnel assistance programs, and if necessary appropriate personnel replacement plan.

3.9.1.5.2 *Personnel Assistance Programs*

Human Resources staff will be required to provide the professional assistance to employees and their families in the face of potentially traumatic conditions that may exist as a result of an emergency or disaster that impacts the government. Specific consideration should be given to those employees who may be deemed non-essential during the resumption process. Assistance could include the following:

- Awareness programs.
- Telephone hot-lines and information updates.
- Counseling tailored to the nature and impact of the incident.
- Additional activities to get employees involved including blood donations, disaster assistance, or collection drives.

The need for family support programs should not be overlooked during the resumption process. Families of employees can help or hinder the overall resumption process, often influenced by the level of support they receive and in turn, offer the individual government employee.

Regardless of the types of assistance programs that are initiated by your organization, the underlying result of employee assistance will have a direct impact on the long-term bonds that develop between employees and employers.

3.9.1.5.3 *Damage Assessment and Salvage Activities*

Important decisions will have to be made early in the resumption process regarding damage assessment and salvage activities. The Business Resumption Team Manager should consider the following:

- The composition of the team(s) and the expertise needed to provide accurate assessments and recommendations.
- The availability of the teams. Are teams designated and available from within your organization or do you have to use external resources?
- Ensure the damage assessment and salvage teams are properly equipped and trained to deal with most potential scenarios.
- Ensure teams know exactly what they are to assess and recover.

3.9.1.6 Communications Plan

For the purpose of business resumption, communications implies public relations and dissemination of information, both internal and external to your department or organization. Considerations should include:

- Date or time of the first public information release?
- Activation of an advisory prioritization list.
- Key partners' knowledge of the designated primary and alternate means of communication, particularly if they require an exchange of significant volumes of data.

3.9.1.7 Inter-departmental Coordination

Inter-departmental coordination will be more important to some ministries than others based on inter-dependencies. The services of some departments may have a direct effect on others; therefore, a disruption of service could have a devastating effect on services provided by other departments. With that in mind, it is important to communicate with other departments. If telephone systems exist, the problem is reduced to continuing or establishing a communications routine. Should normal communication systems not be available, liaison staff may have to be considered. Arrangements should be pre-determined and contained within the plan. Who provides the liaison - the department in crisis, the department that normally provides the service or the receiver? Would reciprocity be more effective?

Some cases may involve the sharing of facilities and allocation of personnel or equipment. This might precipitate the need to warn other departments of the problem so that they can make alternative arrangements for themselves.

Exercising these arrangements can be extremely beneficial and an excellent start in a progressive validation program.

3.9.1.8 External Government Coordination

Dependency on non-government organizations may become an important factor for some departments, based on their inter-dependencies on non-government agencies. It is, therefore, imperative that alternative arrangements be considered in advance. Communication will be essential. If telephones are not available, messages may have to be passed by courier or through liaison. Warning of your service disruption will give the supported agency a chance to find an alternative service. In the case of support to your department (food services, mail, transportation), delivery and disposal will have to be adjusted based on the extent of the crisis.

Coordinating potential contingencies with external agencies followed, by the provision of an unclassified copy of your plan, is an excellent starting point. It may also serve to encourage the agency to create a BRP for itself to ensure that a service disruption on their part is kept to a minimum. Exercising these contingencies can be relatively simple and extremely beneficial to both parties.

It may be beneficial for business resumption teams to retain a list of priority contacts to be initiated, based on the needs of that department or subordinate organization.

3.10 DEPARTMENTAL BUSINESS RESUMPTION TRAINING (Step 10)

Note: Training is discussed in detail in *Part 3 – Training*.

To support your business resumption planning and management processes, training should be considered in two categories:

- Training your Business Resumption Team.
- Ongoing training.

3.11 RESUMPTION PLAN MAINTENANCE (Step 11)

3.11.1 MAINTENANCE RESPONSIBILITIES

The responsibility for the maintenance of a completed BRP lies with the Business Resumption Team Manager and Coordinator.

3.11.2 CONTROL MEASURES

These measures may include the following:

- Distribution lists.
- Designated writing teams.
- Records of amendment.

3.11.3 DISTRIBUTION OF COPIES OF THE BRP

Your BRP should include a distribution list. The physical security of BRPs, should your BRP contain confidential material, may have an impact on the number of copies distributed. Consideration should be given to all external partners, including appropriate government departments and non-government organizations.

Authorization to retain copies of your BRP at individuals homes may be an appropriate consideration, allowing for more effective activation and implementation of BRPs should an interruption occur after hours or access to primary or alternate business sites be denied.

3.11.4 MAINTENANCE SCHEDULES

Included as part of your BRP are the nature and timing of maintenance schedules. These may involve the designation of regularly scheduled meetings to review changes, and determination of priorities.

A means of ensuring effective and timely maintenance is to survey end users. By requesting subsidiary organizations to review and comment on the departmental BRP, Business Resumption Team Managers and Coordinators are likely to gain invaluable information that will assist in the evolution of your BRP.

Enclosed, as *Part 1 - Annex J*, is a sample questionnaire (*Business Resumption Plan Survey*) that may be used to gain employee feedback regarding aspects of your BRP.

3.12 RESUMPTION PLAN EXERCISING AND VALIDATION
(Step 12)

Note: Detailed guidelines on BRP exercising and validation can be found in *Part 4 – Exercising and Validating the BRP.*

The litmus test for any written plan is whether it can actually work.

An exercising and validation process must be incorporated into the business resumption planning process to ensure all elements of a BRP can effectively contribute to the resumption of essential services.

An effective exercising and validation program should:

- Determine exercise objectives.
- Establish exercising policies and guideline.
- Determine a minimum level of exercising.
- Establish an exercise methodology.
- Specify levels of exercises, e.g. the number of and extent to which organizations are scheduled to participate.
- Identify a progression process.
- Include an exercise schedule.
- Determine and implement post-exercise reporting.
- Establish an after-action process.

- Implement a lessons learned process.
- Develop a change management process to account for lessons learned.

4 SUPPORTING KNOWLEDGE

4.1 GLOSSARY OF TERMS

(Attached as *Part 1 - Annex K*)

4.2 LIST OF ACRONYMS

(Attached as *Part 1 - Annex L*)

4.3 RECOMMENDED REFERENCES

Related references that you may find helpful include:

- *Disaster Services,* www.gov.ab.ca/ma/ds
- *The Alberta Emergency Plan,* www.gov.ab.ca/ma/ds/aep.cfm
- *The Disaster Services Act,* www.gov.ab.ca/ma/ds/aep.cfm
- *The Disaster Recovery Planning Guide*, Government of Alberta, January 1996
- *Security – Business Resumption Planning,* Government of Canada, Treasury Board of Canada Secretariat
- *Business Resumption Planning: A Guide,* Government of Canada, Office of Critical Infrastructure Protection and Emergency Preparedness, October 1995
- *Business Resumption Planning – A Development Guide,* Manitoba Emergency Measures Organization, Second Edition, April 1996
- *Disaster Recovery Journal,* www.drj.com
- www.globalcontinuity.com

PART 1 ANNEXES

BUSINESS REVIEW SURVEY (MODEL)

The following survey may be used in conjunction with other Business Resumption Plan tools to determine the various concerns that exist at all levels with respect to the resumption of services to the public in the event of a disruption. Keep in mind that a disruption may take place as a result of any number of incidents. With that in mind, this questionnaire is not designed to be a risk assessment.

Purpose

The purpose of this survey is to assist the Business Resumption Planner in determining the vital resources required to provide a service. As such, this tool may serve to help determine which services should have priority, which services will be the most difficult to resume, the minimum resources required to enable staff to resume a service, and quite possibly, an indication of the timeline in which it should be accomplished.

This survey is generic, to allow and assist you in amending the questions or terminology and to satisfy your department's information needs.

General Information

1. Name of the office ______________________________
2. Office location ______________________________
3. Services provided ____________, ____________,
   ____________, ____________, ____________,
   ____________, ____________, ____________,
   ____________, ____________, ____________,
4. What is the unit of average daily service volume in terms of public served, data processed, and transactions?
5. Does your office have peak times or other time critical issues? If so, what service, what times and how much traffic?

Confidence Factors

Circle the appropriate number that represents the level of confidence you have in the following characteristics (1 – low level of confidence; 5 – high level of confidence):

1. In the event of an incident, you can provide your services, in the short term, without information systems support.

   (1 2 3 4 5)

2. You have adequate human resources available to perform services in an emergency situation.

   (1 2 3 4 5)

3. There is sufficient cross training within your staff to facilitate back up in any situation.

   (1 2 3 4 5)

4. The staff in your area has received sufficient business resumption training to understand the department's plan and their individual responsibilities.

   (1 2 3 4 5)

5. The private sector companies contracted to provide you with supplies and services are aware of what must be done in terms of alternative methods of delivery in the event of a disruption.

   (1 2 3 4 5)

6. Clear leadership responsibility and organization are present at appropriate levels within your group to ensure proper direction and corrective actions are taken in the event of a disruption.

   (1 2 3 4 5)

7. Vital records (system data and hard copy files) are sufficiently maintained and backed up to ensure their protection and availability in the event of a disruption.

   (1 2 3 4 5)

8. You know where you and your group physically report if your primary workplace becomes inaccessible.

   (1 2 3 4 5)

9. You know where the Resumption Operations Centre is and where the Business Resumption Manager in charge of coordination of all initiatives is located.

   (1 2 3 4 5)

10. You are satisfied that priority has been assigned to those services which must be resumed first.

    (1 2 3 4 5)

11. You agree with the services to which priority has been assigned within your area of responsibility.

    (1 2 3 4 5)

12. You are satisfied that sufficient resources are available, or have been identified for immediate procurement in order to achieve at least the minimum standard for essential services.

    (1 2 3 4 5)

13. You exercise the Business Resumption Plan in your office area at least annually.

    (1 2 3 4 5)

14. You are consulted regularly to ensure that emergency contact numbers and procedures are correct.

    (1 2 3 4 5)

General Questions

1. What are the key services that you provide within your area of responsibility? What would the impact be if these services were not provided?
2. What organization, if any, do you rely on for information or services in order to carry out your responsibilities? What external agencies do you rely on for service or resources to carry out your responsibilities?
3. Are there services that you can continue to provide manually and how long could you provide each service without system support?
4. Would a disruption to any of your services result in claims against the crown or legal liability?
5. Do your services relate in any way to Government revenue? If so, describe.
6. Would the disruption of any of your services cost you more than one day to complete a disrupted day of work?
7. In your opinion, what services would result in the quickest loss of public confidence?
8. How long could each of your services be disrupted without serious consequence?
9. Are there resources (vital records or equipment) without which you could not provide service to the public? Are your vital records or equipment appropriately protected to avoid damage or destruction in the event of an incident? Do duplicates exist off site?
10. Are there transportation concerns that would preclude you or your staff from getting to your alternate business site?
11. Does anyone rely on information from your office in order to provide their services? Is there a contingency in your plan, their plan or both to ensure that your information will reach other departments or external agencies?

PLAN DEVELOPMENT CHECKLIST

GETTING STARTED

FUNCTION	RESPONSIBILITY	REMARKS
Has Senior Management commitment been obtained?	Senior Management	
Has a BRP policy been determined?	Senior Management	
Has a BRP Manager been appointed?	Senior Management BRP Manager	
Has the BRP policy been articulated to all employees?	Senior Management BRP Manager	
Have BRP Team members been appointed?	BRP Manager	
Has a BRP planning framework been established?	BRP Manager	

CATEGORIZATION / PRIORITIZATION OF SERVICES

FUNCTION	RESPONSIBILITY	REMARKS
Have Section / Branch / Division / Sector services been listed?	BRP Manager	
Have Section / Branch / Division / Sector services been prioritized?	BRP Manager Planning Team	
Have Departmental services been listed?	Senior Management BRP Manager	
Have Departmental services been prioritized?	Senior Management BRP Manager	
Have Departmental resource needs been: a. determined? b. inventoried? c. prioritized?	Departmental Staff	

DETAILED PLANNING

FUNCTION	RESPONSIBILITY	REMARKS
Has a Resumption Team structure been established?	BRP Manager	
Have the positions and responsibilities within the Resumption Team structure been determined?	BRP Manager	
Have the positions with the Resumption Team been staffed?	BRP Manager	
Have planning responsibilities been assigned to key individuals and/or teams?	BRP Manager	
Have all members of the Planning Team completed activity sheets?	BRP Manager Planning Team	
Have the members of the Planning Team had any BRP training?	BRP Manager	
What are the training requirements for the Planning Team?	BRP Manager Planning Team	

PLAN ASSEMBLY

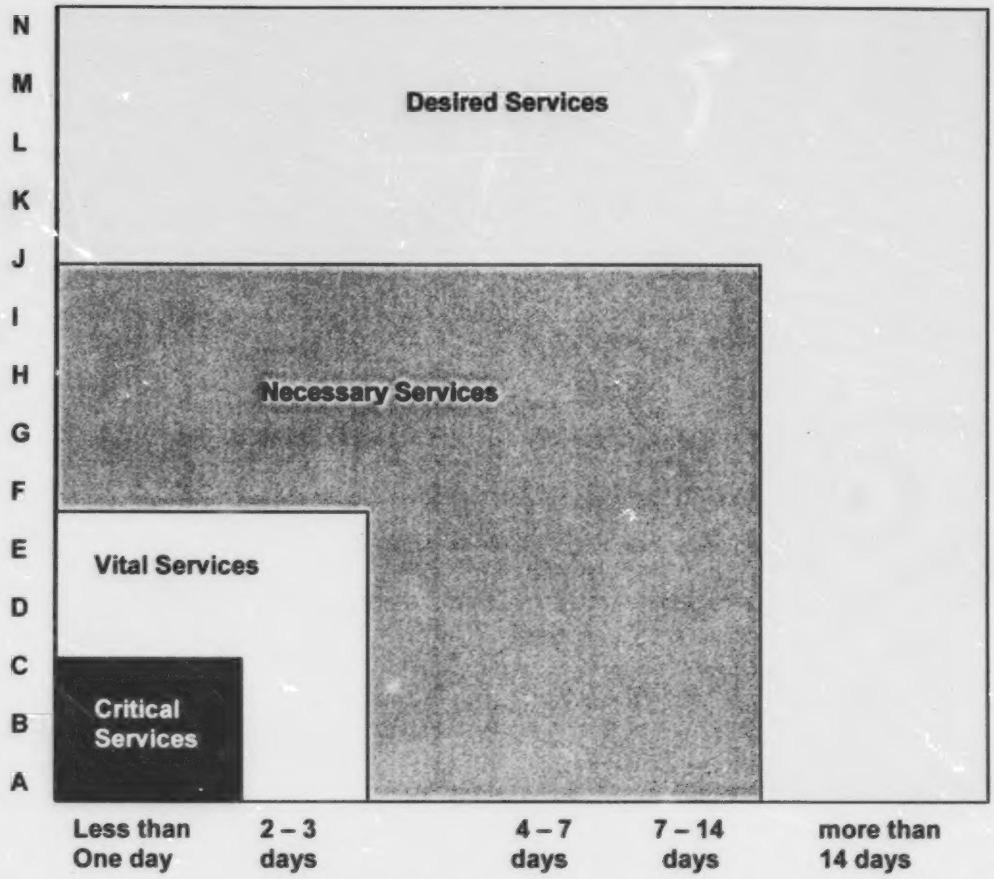
FUNCTION	RESPONSIBILITY	REMARKS
Have all the components of the plan been prepared?	BRP Manager Planning Team	
Has the Plan been: a. printed? b. assembled? c. packaged?	BRP Manager Planning Team	
Has an educational/information package been developed to ensure understanding of the BRP program?	BRP Manager	

PLAN IMPLEMENTATION / MAINTENANCE		
FUNCTION	**RESPONSIBILITY**	**REMARKS**
Has the plan been approved by Senior Management?	Senior Management BRP Manager	
Has the approved plan been distributed to all appropriate personnel and offices?	BRP Manager	
Has a training program been developed and established?	BRP Manager	
Are copies of the plan stored in alternate locations?	BRP Manager	
Has a policy been developed and enforced to ensure that the plan is regularly reviewed and updated?	BRP Manager	
Is the plan (or specific portions of it) being exercised regularly?	Senior Management BRP Manager	
Has a plan been developed to facilitate notifications of changes to the BRP?	BRP Manager	

DEPARTMENTAL SERVICES CATEGORIZATION SHEET

IMPACT CONTINUUM

Determination of highest factors should be adjusted according to departmental expectations and priorities.


N
M
L
K
J
I
H
G
F
E
D
C
B
A
Desired Services
Necessary Services
Vital Services
Critical Services
Less than One day
2 – 3 days
4 – 7 days
7 – 14 days
more than 14 days

TIME CONTINUUM

Departments should determine the significance and length of the time continuum based on their services and time expectations.

Application

1. Choose and assign impact factors alphabetically, based on most to least significant (e.g., A – N). The number of impact factors should be representative of the nature of your organization's services.
2. Compare impact factors to a time continuum. The scale of time may be adjusted to reflect specific requirements of organizations.

DEPARTMENTAL SERVICES SUMMARY

Notes:

1. Listed in priority by category.
2. Expand the list to include all services within each category.
3. This list will summarize all departmental services and may take two or more pages.

Serial	Department, Division, Branch	Category (in order)	Priority (in order)	Service	Brief Substantiation Statement
1		Critical	1		
2			2		
3			3		
4			4		
5		Vital	1		
6			2		
7			3		
8					
9		Necessary	1		
10			2		
11			3		
12					
13		Desired	1		
14			2		
15			3		
16			4		

RISK ASSESSMENT WORKSHEET

DEPARTMENT: ____________________

DIVISION: ____________________

BRANCH: ____________________

ASSUMPTIONS: (Prior to conducting the Risk Assessment, any critical assumptions should be listed.)

1.
2.
3.
4.
5.
6.

SER	THREAT	RISK ASSESSMENT			
		PROBABILITY	SAFETY	RESOURCES	FUNCTIONAL
1	**NATURAL**				
a.	FLOODING				
	(1) Internal				
	(2) External				
b.	FIRE				
	(1) Internal				
	(2) External				
c.	EARTHQUAKE				
d.	WIND STORM				
e.	TORNADO				
f.	SNOW STORM				
g.	ICE STORM				
h.	DROUGHT				
i.	EPIDEMIC				
j.	OTHER				
	(1)				
	(2)				
2.	**TECHNICAL**				
a.	FIRE				
b.	EXPLOSION				
c.	GAS LEAK				
d.	STRUCTURAL				
e.	IT SERVICES				
	(1) System Software				
	(2) Application Software				
	(3) Hardware				
f.	UTILITIES				
	(1) Sewage				
	(2) Water				
	(3) Electrical				
	(4) Communications				
	(5)				
	(6)				

SER	THREAT	RISK ASSESSMENT			
		PROBABILITY	*SAFETY*	*RESOURCES*	*FUNCTIONAL*
g.	OTHER				
	(1)				
	(2)				
3.	**HUMAN**				
a.	TERRORISM				
b.	SABOTAGE				
c.	BOMB THREAT				
d.	BIOLOGICAL				
e.	NUCLEAR				
f.	CHEMICAL				
g.	CRIMINAL				
	(1) Robbery				
	(2) Vandalism				
	(3) Espionage				
	(4) Bribery				
	(5) Computer				
h.	WORK STOPPAGE				
i.	WORK ACTION				
j.	CIVIL DISORDER				
k.	HUMAN ERROR				
l.	OTHER				
	(1)				
	(2)				

OVERALL ASSESSMENT:

HIGH	MEDIUM	LOW
1. ____________	1. ____________	1. ____________
2. ____________	2. ____________	2. ____________
3. ____________	3. ____________	3. ____________
4. ____________	4. ____________	4. ____________
5. ____________	5. ____________	5. ____________

*** Note**:

This overall assessment will assist the Risk Assessment Team with summarizing their findings, and in conjunction with the Business Impact Analysis, focus the attention of the Business Resumption Planning Team towards establishing their BRP.

BUSINESS IMPACT ANALYSIS SERVICES WORKSHEET

Department:	Division:	Branch:	Responsible Office:
Specific Service: ***(Prioritized in accordance with the order you have already established. Example Critical – 3)***		Normal Standard Statement: ***(Provide a detailed description of how the service is normally provided, to whom the service is provided and include legislative or mandate references if applicable.)***	

Minimum Standard Statement:
(State the minimum standard at which the service must be performed.)

Personnel Requirements:

Personnel	**Title**	**Office Phone**	**Home Phone**	**Mobile Contact**	**Comments**

Infrastructure and Resource Requirements:

Item:	**Detail:** ***(Minimum number, minimum capability, minimum capacity, hours required per day, minimum size, etc.)***
Offices:	
Furniture:	
Communication:	
ADP:	
Information Resources:	

Other:

Comments:

VITAL RECORDS SUMMARY SHEET

Serial	Vital Record	Format	Responsible Office	Contact	Location of Record(s)	Comments
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						
11						
12						
13						
14						

BUSINESS RESUMPTION ACTIVITIES SUMMARY

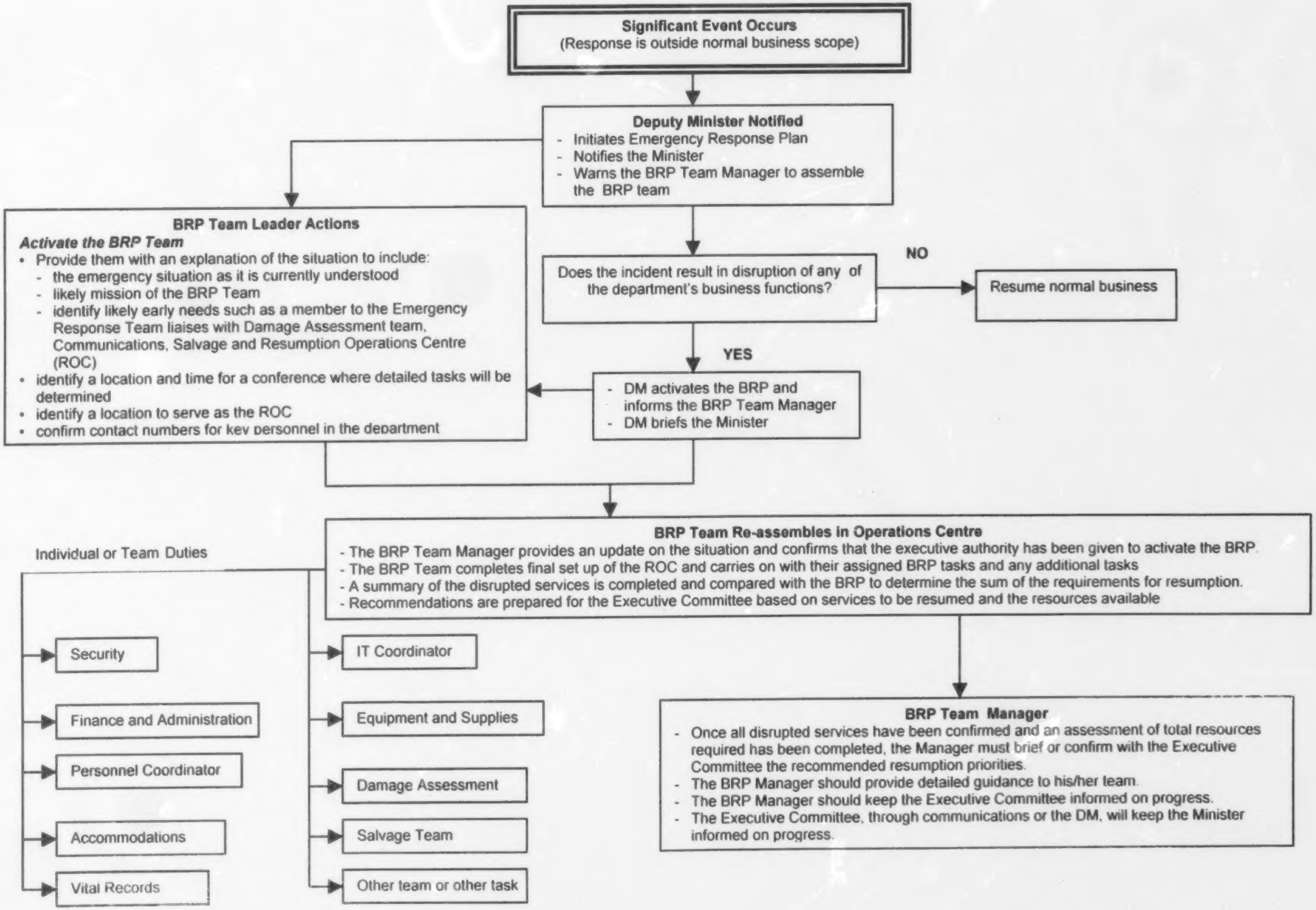
DEPARTMENT: ____________________

DIVISION: ____________________

BRANCH: ____________________

ACTIVITY	LEAD AGENCY	BRANCH/DIVISION	SPECIFIC REQUIREMENT	INTERNAL RESOURCES	EXTERNAL RESOURCES	TIME TO ESTABLISH	DEFICIENCIES

ACTIVATION FLOWCHART



Significant Event Occurs
(Response is outside normal business scope)

Deputy Minister Notified
- Initiates Emergency Response Plan
- Notifies the Minister
- Warns the BRP Team Manager to assemble the BRP team

Does the incident result in disruption of any of the department's business functions?

NO
Resume normal business
YES

- DM activates the BRP and informs the BRP Team Manager
- DM briefs the Minister

BRP Team Leader Actions

Activate the BRP Team
- Provide them with an explanation of the situation to include:
  - the emergency situation as it is currently understood
  - likely mission of the BRP Team
  - identify likely early needs such as a member to the Emergency Response Team liaises with Damage Assessment team, Communications, Salvage and Resumption Operations Centre (ROC)
- identify a location and time for a conference where detailed tasks will be determined
- identify a location to serve as the ROC
- confirm contact numbers for key personnel in the department

BRP Team Re-assembles in Operations Centre
- The BRP Team Manager provides an update on the situation and confirms that the executive authority has been given to activate the BRP.
- The BRP Team completes final set up of the ROC and carries on with their assigned BRP tasks and any additional tasks
- A summary of the disrupted services is completed and compared with the BRP to determine the sum of the requirements for resumption.
- Recommendations are prepared for the Executive Committee based on services to be resumed and the resources available

Individual or Team Duties
Security
Finance and Administration
Personnel Coordinator
Accommodations
Vital Records
IT Coordinator
Equipment and Supplies
Damage Assessment
Salvage Team
Other team or other task

BRP Team Manager
- Once all disrupted services have been confirmed and an assessment of total resources required has been completed, the Manager must brief or confirm with the Executive Committee the recommended resumption priorities.
- The BRP Manager should provide detailed guidance to his/her team.
- The BRP Manager should keep the Executive Committee informed on progress.
- The Executive Committee, through communications or the DM, will keep the Minister informed on progress.

BUSINESS RESUMPTION PLAN SURVEY

Introduction:

A Business Resumption Plan (BRP) is a plan that can be activated during or immediately following an emergency or interruption of services and is aimed at permitting the rapid and cost effective resumption of an organization's critical and essential services in order to maintain continuity of services to its clients. It sets the stage for, but is a separate entity from, long term disaster recovery, which returns the organization to normal operating conditions, allowing the organization to restore its normal operating conditions. The effectiveness of the BRP can likely influence the success of the organization in its attempt to provide the continuation of services.

CONCERN	TO DO	COMPLETED
Does your organization's emergency plan include a Business Resumption Plan?		
Does your organization have an alternate location from which to operate if the need arises?		
Have you categorized and prioritized the various functions of each Section/Branch/Division/Sector?		
Have you identified the staffing requirements to ensure the continuity of services?		
Has a succession plan been established at all levels?		
Has the Department planned and established a debriefing procedure?		
Have arrangements been made for professional assistance to distressed employees?		
Has the Department assessed employee availability?		
Does your Department have a plan for keeping essential employees at work and for the orderly departure of non-essential employees?		
Have you established a mobilization plan for essential employees?		
Have you established administrative arrangements, such as meals and other essential items needed to sustain essential employees?		
Is there a plan for the orderly return of various employee groups, based on the prioritization of their functions?		
Do employees have adequate identification to permit them access to facilities?		
Is there a procedure for gathering, analyzing and reporting data on the impact of the incident?		
Have liaison personnel been identified to report injuries, deaths, damage and resource needs to the appropriate authorities, including emergency services, employees' families, etc?		
Have you established a priority list for the replacement and/or repair of facilities and equipment?		

CONCERN	TO DO	COMPLETED
Do you have a plan, or prearrangement, with partners from outside the impact zone to provide critical parts for equipment that may have been damaged?		
Do you have arrangements with partners, etc. to ensure that the department's services can continue?		
Are you aware of your suppliers' Business Resumption Plans?		
Does your plan include a provision for transportation of employees and/or work crews within a disaster area?		
Does the Department have an auxiliary communication system that can operate independently from normal power supplies?		
Have arrangements been made to provide portable communication assets to the various locations and teams?		
Have arrangements for communication been made, other than telephone, that will allow employees to contact their families?		
Do you have sufficient funds available to purchase essential items immediately, ie. food, supplies, petrol, etc?		
Have you developed a plan to control access to the facility if the need arises?		
Does your BRP include periodic training, rehearsals and validation?		
Does your BRP include provisions for regular updating?		
Is your Business Resumption Plan Complete?		

Business Resumption Planning has demonstrated that it is an effective tool in maintaining continuity of services and substantially increases an organization's ability to maintain its intended purpose.

*** Note**:

This survey is intended as a guideline for Senior Management and the BRP Team Manager to follow during the preparation of the departmental Business Resumption Plan. It provides a series of questions/statements that have been designed to ensure that the critical information necessary for the completion of the BRP is included in the plan. This survey also provides the user with a visual system to ensure that these essential items have been considered and completed or that they are in the process of being completed. The list of questions above is not exhaustive and departmental-specific points can easily be added. When completed, it is a sound basis from which to determine the effectiveness and viability of the existing plans.

GLOSSARY OF TERMS

Accepting Risk

A risk management technique that allows management to weigh the cost of managing the risk versus the benefits of reducing the risk. See also cost/benefit analysis. Risk acceptance is a matter for the governance team of senior management and the board. The amount of acceptable risk should be determined beforehand. - *Global Continuity*

Assumptions

Basic understandings about unknown disaster situations that the disaster recovery plan is based on. - *Disaster Recovery Journal*

Business

The services, products, inputs and outputs that encompass the activities of a government.
– *BRP-DS*

Business Continuity Cycle

A sequence of events that occurs before and after an interruption of an organization's essential services. Components include: mitigation and preparedness, response, resumption, recovery and lessons learned. - *BRP-DS*

Business Continuity Planning (BCP)

Making advance preparations to continue your business activities after an interruption. BCP is sometimes called "disaster recovery planning" or "contingency planning." The BCP process should answer two questions, "What could go wrong?" (called a risk analysis), and "If something went wrong, how would it affect our business?" (called a business impact analysis). Your answers to those questions help determine your resumption and recovery strategies, which should be written down and tested every year. - *The Hernando County Emergency Management website*
http://www.co.hernando.fl.us/em/about.htm

Business Impact Analysis (BIA)

The business impact analysis identifies consequences of an incident in terms of loss of operations or services, revenue loss, additional expense, loss of confidence, and the expected length of the interruption.

The process of analyzing all business functions and the effect that a specific disaster may have upon them. - *BRP-DS, Disaster Recovery Journal*

Business Resumption Management

The process of activation, implementation and management of an established business resumption plan. This process may occur minutes to days after the response phase of an incident or disaster. - *BRP-DS*

Business Resumption Plan (BRP)

A plan that when activated provides for the orderly cost effective resumption of a department's essential services, programs and operations if and when a disruption occurs for any reason. - *EPO-MB*

Business Resumption Planning

Planning to ensure the continued availability of essential services, programs and operations, including all the resources involved. Prepares an organization to act in response to an interruption of essential business services and provides the guidelines to fully recover operations, services and programs. - *Alberta Disaster Services Glossary of Terms*

Business Resumption Planning Officer

A senior member of a provincial government department, who in addition to other duties, coordinates the maintenance and implementation of the department's business resumption plan and processes. This individual may be the Business Resumption Team Manager or Coordinator. - *BRP-DS*

Business Resumption Team

A team of appointed government employees responsible for the writing, maintenance, exercising and validation of a business resumption plan, and all activities related to the activation of that plan. - *BRP- DS*

Business Resumption Team Coordinator

An appointed government employee responsible to the Business Resumption Team Manager for the overall coordination of business resumption activities. – *BRP-DS*

Business Resumption Team Manager

An appointed provincial government manager who is responsible for leading the Business Resumption Team. This individual will facilitate overall planning, provide ongoing liaison with senior management, ensure completed plans are maintained and coordinate activities following the activation of a plan. – *BRP-DS*

Cold Site

One or more data centres or office space facilities equipped with sufficient pre-qualified environmental conditioning, electrical connectivity, communications access, configurable space and access to accommodate the installation and operation of equipment by critical staff required to resume business operations. - *Global Continuity*

Consequence

The outcome of a risk event expressed qualitatively or quantitatively. - *Global Continuity*

Consequence Management

Measures taken by government to prepare for and implement responses to disasters and emergencies. - *BRP-DS*

Crisis Management

Those measures required to prevent or resolve a terrorist threat or a potential act of terrorism. - *BRP-DS*

Critical Services

Reserved for services that must be provided immediately or will definitely result in the loss of life, infrastructure destruction, loss of confidence in the government, and significant loss of revenue. These services normally require resumption within 24 hours of interruption. - *BRP-DS*

Department (Ministry)

A cabinet minister's area of responsibility, or portfolio, and the people who work for the department. The minister, who is head of the department, is a member of Executive Council. - *Legislative Assembly - Parliamentary Terms*

Desired Services

Those services that could be delayed for two weeks or longer, but are required in order to return to normal operating conditions and alleviate further disruption or disturbance to normal conditions. - *BRP-DS*

Disaster

An event that results in serious harm to the safety, health, or welfare of people or in widespread damage to property. - *Disaster Services Act*

Disaster Management Cycle

The cycle of events that Disaster Services and response personnel initiate following an incident - *BRP-DS*

Emergency

A present or imminent event that requires prompt coordination of action or special regulation of persons or property to protect the health, safety or welfare of people or to limit damage to property. - *Disaster Services Act*

Emergency Operations Centre (EOC)

An operations centre established in a suitable location to manage the larger aspects of the emergency. In a high impact emergency there may be a number of EOCs established to support the response. These may include corporate EOCs (regional, headquarters), municipal EOCs, a joint regional EOC and the provincial government EOC (see Government Emergency Operations Centre). - *Alberta Disaster Services Glossary of Terms*

Emergency Planning Officer (EPO)

A senior member of a provincial government department, appointed by the department head, who in addition to other duties, coordinates the department's response to a major emergency or disaster. - *Alberta Disaster Services Glossary of Terms*

Emergency Response Structure

The local authority is the first level of government to respond to an emergency or disaster. The degree of response by other levels of government and the private sector should be tailored to the local authority's capabilities and needs. The establishment of an emergency Operations Center (EOC) by any of the responding organizations will be dictated by the magnitude of the incident, the nature and scope of the response, and the need for public and media communications activities. Local authorities plan for three levels of emergency response, in increasing order of magnitude. - *Alberta Disaster Services Glossary of Terms*

Essential Services

For the purposes of business resumption, the four levels of services provided by the government of Alberta, including critical services, vital services, necessary services and desired services. - *BRP-DS*

Executive Committee

The reporting board to the Deputy Minister. - *BRP-DS*

Exercises

An exercise completes the training and educational process in emergency preparedness and enables an evaluation of emergency plans and organizational capability, as well as providing opportunity to promote and refine cooperation and coordination between operational teams, staff groups, officials and others involved in an organized response to an emergency. actual experience.

CATEGORIES OF EXERCISES
Workshops – an exercise that does not use telecommunications resources;
Functional – an exercise where telecommunications are used but where human and material resources are not deployed, and
Field – an exercise where telecommunications are used and some, most or all human and material resources are physically deployed.

TYPES OF EXERCISE
Paper – characterized by the imposition of paper events or constraints on learners, with the principal intention of promoting beneficial interactions between them;
Study – an exercise designed to develop the problem solving capabilities of the learners. It is an effective means of developing or upgrading procedures for a specific operation, and evaluation of emergency plans;
Table top – an exercise where all the participants describe their response actions using a map, diagram, cloth or sand model;
Synthetic – a pre-programmed exercise where all participants use electronic equipment;
Specialty – an exercise that mainly involves specialty teams although other agencies can to be expected to provide support. Examples are: bomb threat, hijacking, dangerous goods incident, and upstream petroleum incident.

Telecommunications – an exercise designed to test or develop an alerting system and telecommunications between municipal response agencies and community/volunteer organizations;
Media – an exercise designed to establish routine contact points and cooperation between the municipal/provincial government or industry, and the media. - *Alberta Disaster Services Glossary of Terms*

Facilities

A location containing the equipment, supplies, voice and data communication lines, to conduct transactions required to conduct business under normal conditions. - *Disaster Recovery Journal*

Hazard

A danger or risk - *Oxford Dictionary, 1995 edition*

Hot Site

A data centre facility or office facility with sufficient hardware, communications interfaces and workspace capable of providing almost immediate backup data processing support.
- *Global Continuity*

Impact

1 - the action of one body coming forcibly into contact with another.
2 - an effect or influence, esp. when strong - *Oxford Dictionary, 1995 edition*

Impact Continuum

Scale of impacts as a result of disruption rated from most to least important. - *BRP-DS*

Incident

Any event, which may be, or may lead to, a disaster. - *Global Continuity*

Infrastructure

The basic structural foundations of an organization. In business resumption planning, infrastructure includes the facilities, buildings and physical assets used by an organization. - *BRP-DS*

Loss

The unrecoverable business resources that are redirected or removed as a result of a disaster. Such losses may be loss of life, revenue, market share, competitive stature, public image, facilities, or operational capability. - *Disaster Recovery Journal*

Ministry (Department)

A cabinet minister's area of responsibility, or portfolio, and the people who work for the department. The minister, who is head of the department, is a member of Executive Council - *Legislative Assembly - Parliamentary Terms*

Mitigation

Includes the policies and actions undertaken at a time distant (usually considerably before) from an actual disaster situation, and which are intended to prevent or reduce a disaster impact when it occurs. Examples are building codes, land use regulations, educational and training information, and insurance. - *Alberta Disaster Services Glossary of Terms*

Necessary Services

Those services that must resumed within two weeks, or could result in considerable loss, further destruction or disproportionate recovery costs. - *BRP-DS*

Off-Site Location

A storage facility away from the primary facility, which is used for housing recovery supplies, equipment, vital records etc. - *BRP-DS*

Outsourcing

The process by which functions performed by the organization are contracted out for operation, on the organization's behalf, by third parties. - *Global Continuity*

Probability

The likelihood of a specific event or outcome, measured by the ratio of specific events or outcomes to the total number of possible events or outcomes. Probability is expressed as a number between 0 and 1, with 0 indicating an impossible event or outcome and 1 indicating an event or outcome that is certain. - *Global Continuity*

Recovery

The process of planning for and/or implementing recovery of less time sensitive business operations and processes after critical business functions have resumed. - *Source: The Strohl Systems website (<http://www.strohlsystems.com/BCP/default.asp>)*

Response

The reaction to an interruption or emergency in order to assess the level of containment and control activity required.

Response is those actions taken during and immediately after impact to deal with the crisis time problems. Examples are search and rescue and the provision of emergency medical services. *- BRP-DS. Alberta Disaster Services Glossary of Terms*

Restoration

The process of planning for and implementing full-scale business operations that allows the organization to return to a normal service level. - *The Strohl Systems website (<http://www.strohlsystems.com/BCP/default.asp>)*

Resumption

The process of planning for and / or implementing the recovery of essential services immediately following an interruption or disaster. - *BRP-DS*

Resumption Operations Centre (ROC)

Facilities established to manage the resumption of essential services, programs and operations. *- BRP-DS*

Risk

A chance or possibility of danger, loss, injury, or other adverse consequences. - *Oxford Dictionary. 1995 Edition*

Risk Assessment

A risk assessment identifies specific threats and severity of impact of an incident on the organization. It does not attempt to identify operational, financial or logical impacts on specific organizational departments and functions.

The process of identifying and minimizing the exposures to certain threats which an organization may experience. - *BRP-DS, Devlin, I-1-1, Disaster Recovery Journal*

Risk Management

The culture, processes and structures that are directed towards the effective management of potential opportunities and adverse effects. - *Global Continuity*

Scenario

A pre-defined set of events and conditions, which describe an interruption, disruption or disaster related to some aspect(s) of an organization's business for purposes of exercising a recovery plan(s). - *Global Continuity*

Simulation

An exercise of recovery procedures under conditions approximating a specific disaster scenario. This may involve designated units of the organization actually ceasing normal operations while exercising their procedures. - *BRP-DS*

Standard

A set of criteria or requirements that is generally agreed upon. - *Global Continuity*

Table Top Exercise

The implementation and testing of a business resumption plan, using a range of scenarios whist not effecting the enterprise's normal operation.

An exercise where all the participants describe their response actions using a map, diagram, cloth or sand model. - *Global Continuity, Alberta Disaster Services Glossary of Terms*

Time Continuum

A scale of time applied to the impact of a specific service interruption in determining priorities of essential services. - *BRP-DS*

Vital Records

Records that are essential for preserving, continuing or reconstructing the operations of the organization and protecting the rights of the organization, its employees, its customers and its stockholders. - *Global Continuity*

Vital Services

Applies to services that must be provided within 72 hours or will likely result in loss of life, infrastructure destruction, loss of confidence in the government, and significant loss of revenue or disproportionate recovery costs. - *BRP-DS*

Warm Site

A data centre or office facility which is partially equipped with hardware, communications interfaces, electricity and environmental conditioning capable of providing backup operating support. - *Global Continuity*

LIST OF ACRONYMS

ABAFF	Aboriginal Affairs and Northern Development
AEUB	Alberta Energy and Utilities Board
AFRD	Agriculture, Food, and Rural Development
AMA	Alberta Municipal Affairs
ARC	Alberta Research Council
ASC	Alberta Securities Commission
AUDG	Auditor General
BCP	Business Continuity Planning
BIA	Business Impact Analysis
BRP	Business Resumption Plan
CHILD	Children's Services
COMDEV	Community Development
DRI	Disaster Recovery Institute
DRJ	Disaster Recovery Journal
DSO	Disaster Services Officer
ECDEV	Economic Development
ENV	Environment
EOC	Emergency Operations Centre
EPO	Emergency Planning Officer
FIN	Finance
GEOC	Government Emergency Operations Center
GOV/SVC	Government Services
HR	Human Resources

HRE	Human Resources and Employment
INFRAS	Infrastructure
INNSCI	Innovation and Science
IPC	Office of the Information and Privacy Commissioner
IT	Information Technology
JAG	Justice and Attorney General
LEG	Legislative Assembly of Alberta
LTGOV	Lieutenant Governor
NRCB	Natural Resources Conservation Board
OAG	Office of the Auditor General
OCIPEP	Office of Critical Infrastructure Protection and Emergency Preparedness
PAB	Public Affairs Bureau
PAO	Personnal Administration Office
RA	Risk Assessment
REV	Revenue
ROC	Resumption Operations Centre
SOLGEN	Solicitor General
SRD	Sustainable Resource Development
TRANS	Transportation
VP	Vital Points
WCB	Worker's Compensation Board

PART 2 PLAN TEMPLATE

TEMPLATE

Introduction

This generic template has been designed to be adaptable to all organization levels within a department. It consists of eight sections:

Section 1 - Vital Information *(applicable to all organizations)*

Section 2 - Introduction and Business Resumption Team Organization *(applicable to all organizations)*

Section 3 - Risk Assessment *(applicable to all organizations)*

Section 4 - Business Impact Analysis *(applicable to all organizations)*

Section 5 - Resumption Activities *(specific to the organization)*

Section 6 - Subsidiary Organizations Resumption Plans

Section 7 – Training Concept *(applicable to all organizations)*

Section 8 – Plan Exercising and Validation Concept *(applicable to all organizations)*

Note *All content written in blue italicized font is intended as supporting information to the template.*

EXECUTIVE COMMITTEE FOREWORD

SECTION 1

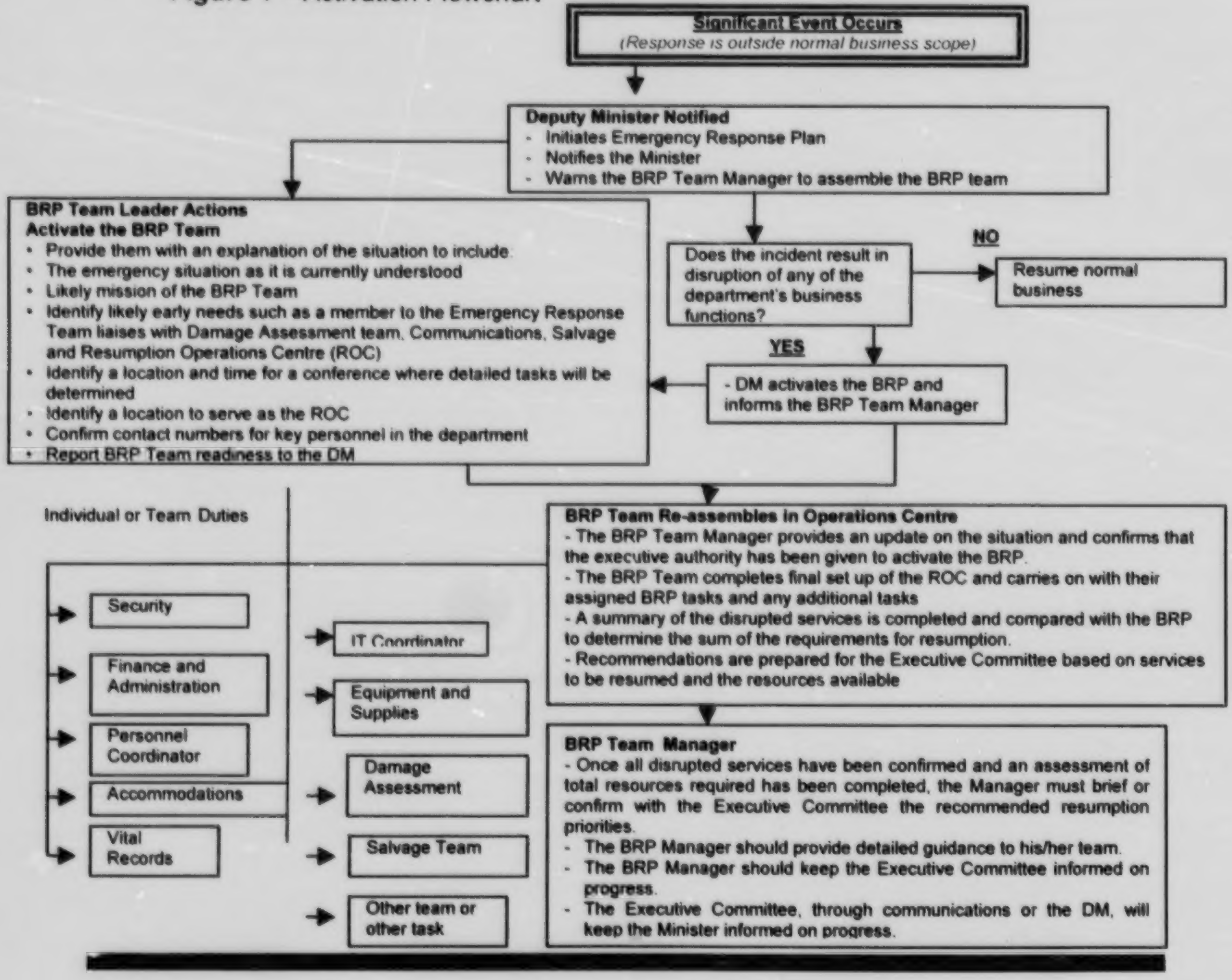
VITAL INFORMATION

Contact Information of Departmental Business Resumption Team Manager and Coordinator

- Alternates.
- Other key personnel.

Plan Activation Sequence of Events (General/graphic explanation)

Figure 1 – Activation Flowchart



Significant Event Occurs
(Response is outside normal business scope)

Deputy Minister Notified
- Initiates Emergency Response Plan
- Notifies the Minister
- Warns the BRP Team Manager to assemble the BRP team

BRP Team Leader Actions
Activate the BRP Team
- Provide them with an explanation of the situation to include:
- The emergency situation as it is currently understood
- Likely mission of the BRP Team
- Identify likely early needs such as a member to the Emergency Response Team liaises with Damage Assessment team, Communications, Salvage and Resumption Operations Centre (ROC)
- Identify a location and time for a conference where detailed tasks will be determined
- Identify a location to serve as the ROC
- Confirm contact numbers for key personnel in the department
- Report BRP Team readiness to the DM

Does the incident result in disruption of any of the department's business functions?

NO

Resume normal business

YES

- DM activates the BRP and informs the BRP Team Manager

BRP Team Re-assembles in Operations Centre
- The BRP Team Manager provides an update on the situation and confirms that the executive authority has been given to activate the BRP.
- The BRP Team completes final set up of the ROC and carries on with their assigned BRP tasks and any additional tasks
- A summary of the disrupted services is completed and compared with the BRP to determine the sum of the requirements for resumption.
- Recommendations are prepared for the Executive Committee based on services to be resumed and the resources available

BRP Team Manager
- Once all disrupted services have been confirmed and an assessment of total resources required has been completed, the Manager must brief or confirm with the Executive Committee the recommended resumption priorities.
- The BRP Manager should provide detailed guidance to his/her team.
- The BRP Manager should keep the Executive Committee informed on progress.
- The Executive Committee, through communications or the DM, will keep the Minister informed on progress.

Activation Criteria

A concise outline of the conditions and responses that must occur before the plan is activated (clear activation versus non-activation triggers).

List of Succession

Listing the delegation of authority of senior departmental personnel:

- Primary senior management.
- Alternate senior management.
- Available senior manager (include scope of responsibilities if different from the primary and alternate senior managers).

Distribution List

- Personnel assigned copies.
- Location of spares.

TABLE OF CONTENTS

RECORD OF AMENDMENTS

SECTION 2

INTRODUCTION

Departmental Policy Statement

Includes summary of the Department's Critical Services.

Purpose of the Plan

Glossary of Terms. *See Part 1 – Annex K*

- Amend as required.

List of Acronyms. *See Part 1 – Annex L*

- Amend as required.

Resumption Planning Teams

Organization (by position as opposed to personality). Attached as ***Part 1 – Figures 3 (pg. 13), 4 (pg. 14), & 5 (pg. 15)*** are *business resumption organizational models.*

Specific responsibilities and Individual Activity Worksheets are attached as ***Part 2 – Annex A***

Contact Lists

- Department/division/branch/sector level business resumption teams.
- Department/division/branch/sector level supporting teams.
- Applicable cross-government contacts.
- External contacts.
- Service providers.

SECTION 3

RISK ASSESSMENT

Part 1 – Annex E is the *Risk Assessment Worksheet*, and the *Risk Summary Matrix*.

SECTION 4

BUSINESS IMPACT ANALYSIS

ASSUMPTIONS

DEPARTMENTAL SERVICES SUMMARY *Part 1 – Annex D*

- Prioritize by criticality.
- Prioritize by organization.

BUSINESS IMPACT ANALYSIS SERVICES WORKSHEET *Part 1 – Annex F*

CONSTRAINTS TO PLAN IMPLEMENTATION (Optional)

- Physical resources.
- Personnel.
- Time and space.
- Infrastructure.
- Regulatory factors.

SECTION 5

ASSESSMENT OF RESUMPTION ACTIVITIES

- Activities should be listed based on priority that supports the identified critical services.
- Activities should reflect the requirements to meet the planning objectives assigned to each service.

Part 1 – Annex H, *Business Resumption Activities Summary*

Specific Activities

Early Warning

Recall of Essential Personnel

Instructions for Non-essential Personnel

Activation - Departmental/Division/Branch Specific Services

Damage Assessment Team

Salvage Team

Vital Records Recovery/Replication/Recall

- Lists of vital records by organization.
- Location of all vital records, including back up records.
- Maintenance plan for vital records.
- Personnel access to vital records.

Part 1 – Annex G, Vital Records Summary Sheet

Infrastructure and Facility Transfer Plan

- To alternate location(s).
- Authority and policy to transfer to individual homes.
- Return to primary location.

Alternate Worksite(s)

- Description and location(s) for alternate and third site.
- IT/networking capability.
- Communications capability.
- Access.
- Parking.
- Workspace allocation.
- Vital records storage allocation.
- Coordination with other agencies.

Physical Communications Redundancy Plan

- Telecommunications.
- Data.

Financial/Funding Models

Resumption Operations Centre

- Description of site (hot, warm, cold site).
- Location.
- Staffing.
- Reception.
- Parking.
- Communications facilities.
- Work space allocation.
- Signing.
- Administrative facilities.
- Support facilities.
- Access.

Communications and Public Information Plan

- Resumption status information number – public and employees.
- General information number.
- Public releases of information.

Postal Services

- Canada Post.
- Courier services.
- Consider primary and alternate locations.

Employee Accountability

- Employee evacuation.
- Employee accountability – confirmation procedures.
- Provision of medical assistance.
- Employee briefings.
- Social service assistance.

Employee Assistance Plan

- Dependent briefings.
- Emergency housing, feeding and medical services.
- Childcare.

Security

- Current plan and measures.
- Enhanced measures.
- Revised or enhanced access requirements to primary or alternate facilities.
- Consider current and alternate locations.
- Impact of your facilities being designated a crime scene (terrorism).

Debriefing Team

- Post traumatic stress disorder care.
- Employee counseling.

Internal Coordination Requirements (Prioritize by critical services)

- Department.
- Division/sector.
- Branch/Section.

External Coordination Requirements (Prioritize by critical services)

- Inter-government.
- Non-government agencies.
- Service providers.
- Partners of interest.

IDENTIFY KEY PERSONNEL

- Not associated directly with business resumption process.

SECTION 6

SUBSIDIARY ORGANIZATION BUSINESS RESUMPTION PLANS.

Contained within this section should be the business resumption plans of all subsidiary organizations in a department. Based on the size and capability of your department, you may wish to only enclose essential information and a summary of that organization's business resumption plan.

SECTION 7

TRAINING CONCEPT

Business Resumption Team Training Concept

Ongoing Training Concept

Objectives

PLAN MAINTENANCE PROTOCOLS

Maintenance Schedule

Maintenance Teams and Responsibilities

Revision Schedule

SECTION 8

EXERCISING AND VALIDATION CONCEPT **(Can be issued separately)**

Exercise objectives

Exercising policy

Exercise methodology

Exercise schedule

Performance measurement process

Post-exercise reporting

After action-process

Lessons learned process

Change management process in response to lessons learned

PART 2 ANNEXES

ACTIVITY SHEET

Position: ***Business Resumption Plan Coordinator***

Primary: ______________________________ **Phone:** __________________

Alternate: ______________________________ **Phone:** __________________

Responsibilities:

1. Facilitate meetings of the planning committee.
2. Locate a Resumption Operations Center (ROC) and an alternate ROC off site location.
3. Determine ROC resource requirements.
4. Provide updates on planning progress as required.
5. Coordinate training activities and information dissemination with the department.
6. Oversee the conduct of training and validation activities.
7. Conduct an annual plan review and update.

Activities:

1. Confirm situation and notify senior management.
2. Establish the ROC.
3. Assemble BRP group members at the ROC.
4. Ensure that the ROC has all the required resources, including items for sustained use.
5. Provide updates as requested.
6. Obtain and control the release of information to the Public Affairs Office.
7. Maintain a detailed log of activities.

*** Required Information:**

List all the information and resources that will be required to undertake the activity in a timely manner (forms, references, procedural information, lists of key personnel, emergency contact numbers, etc.).

ACTIVITY SHEET

Position: ***Communications Coordinator***

Primary: ______________________ **Phone:** ______________

Alternate: ______________________ **Phone:** ______________

Responsibilities:

1. Develop an information program plan.
2. Determine resource needs to implement all aspects of an information package.
3. Ensure that the primary and alternate spokespeople have sufficient training to undertake the tasks.

Activities:

1. Ensure that all personnel have been notified not to release information and to refer requests to the organization's spokesperson.
2. Advertise using appropriate media, as necessary.
3. Hold press conferences, as necessary.
4. Contact clients, staff and their families as necessary and provide them with important information.
5. Maintain a log of activities.

*** Required Information.**

List all the information and resources that will be required to undertake the activity in a timely manner (forms, references, procedural information, lists of key personnel, emergency contact numbers, etc.).

ACTIVITY SHEET

Position: ***Damage Assessment & Salvage Coordinator***

Primary: ______________________ **Phone:** ______________

Alternate: ______________________ **Phone:** ______________

Responsibilities:

1. Assemble and train a damage assessment team.
2. Prepare an incident response kit.
3. Develop and maintain a list of contractors who specialize in damage assessment and salvage.
4. Develop and maintain a list of contractors who can repair damaged resources.
5. Liaise with emergency officials and property managers to ensure they understand the duties and functions of the Damage Assessment Team.

Activities:

1. Contact and coordinate with insurance adjustors as necessary.
2. Confirm with response authorities that it is safe for the Damage Assessment Team to proceed.
3. Assemble the Damage Assessment Team.
4. Proceed with damage assessment.
5. Report findings to the BRP Recovery Operations Centre.
6. Following assessment, proceed to salvage useable items in accordance with established priorities and functions.
7. Maintain a log of all activities.

*** Required Information:**

List all the information and resources that will be required to undertake the activity in a timely manner (forms, references, procedural information, lists of key personnel, emergency contact numbers, etc.).

ACTIVITY SHEET

Position: ***Equipment and Supplies Coordinator***

Primary: ______________________________ **Phone:** ____________________

Alternate: ______________________________ **Phone:** ____________________

Responsibilities:

1. Keep a list of local suppliers for all essential services.
2. Maintain a list of alternate suppliers outside of the region for all essential services.
3. Maintain lists of minimal requirements for all essential services.
4. Liaise with Infrastructure and Facilities Coordinator.
5. Evaluate the concept of leasing or renting options as opposed to purchasing (this will be influenced by the results of the Damage Assessment process).

Activities:

1. Contact local suppliers to obtain essential resources.
2. Contact alternate suppliers (as necessary) outside of the region to obtain essential services.
3. Distribute resources within the Department in accordance with the established priorities.
4. Maintain a detailed log of activities.

* Required Information:

List all the information and resources that will be required to undertake the activity in a timely manner (forms, references, procedural information, lists of key personnel, emergency contact numbers, etc.).

Note: When considering suppliers the following points should be considered:

1. **Reliability**: Are they likely to be impacted by the same incident? Do they have their own Business Resumption Plans?

2. **Flexibility**: What are their hours of operation? Will they provide emergency services? Will they supply resources for a short period of time, and at what cost? Are they willing to participate in training exercises?

3. **Payment**: Are credit arrangements available?

ACTIVITY SHEET

Position: ***Finance and Administration Coordinator***

Primary: ______________________ **Phone:** ______________

Alternate: ______________________ **Phone:** ______________

Responsibilities:

1. Ensure that appropriate insurance coverage exists and maintain a list of all insurance policies and contacts.
2. Maintain a list of current assets for insurance purposes.
3. Prepare and maintain control of BRP Budget.

Activities:

1. Notify insurance adjustors as required.
2. Clear any major expenses with the insurance company.
3. Authorize emergency cheques.
4. Liaise with the management group on financial decisions.
5. Maintain a record of purchases and expenditures.
6. Maintain a log of activities.

* Required Information

List all the information and resources that will be required to undertake the activity in a timely manner (forms, references, procedural information, lists of key personnel, emergency contact numbers, etc.).

ACTIVITY SHEET

Position: ***Human Resources Coordinator***

Primary: ______________________ **Phone:** ______________

Alternate: ______________________ **Phone:** ______________

Responsibilities:

1. Keep an up-to-date contact list of all employees.
2. Maintain a list of agencies who can supply temporary staff as required, including specialized personnel.
3. Develop a system for managing a post event resource pool.
4. Maintain a list of sources for workplace health and safety advice and psychological counseling.
5. Plan for other anticipated personnel concerns (payroll, daycare, etc.).
6. Maintain a list of current job descriptions so that unavailable staff can be replaced.

Activities:

1. Account for the status of all personnel.
2. Recall priority staff.
3. Notify impacted employees of their status.
4. Coordinate a resource pool of unassigned personnel, assessing departmental needs and reassigning as available.
5. Obtain guidance on workplace safety and health issues, as required.
6. Arrange for Critical Incident Stress Debriefing as required.
7. Arrange for other personnel concerns as required.
8. Maintain a log of activities.

* Required Information

List all the information and resources that will be required to undertake the activity in a timely manner (forms, references, procedural information, lists of key personnel, emergency contact numbers, etc.).

ACTIVITY SHEET

Position: ***Infrastructure / Facilities Coordinator***

Primary: ______________________________ **Phone:** __________________

Alternate: ______________________________ **Phone:** __________________

Responsibilities:

1. Keep a list of building inspectors.
2. Maintain a list of reliable and qualified contractors to:
   a. clean and repair the damaged site so that its normal activities can be resumed.
   b. make temporary repairs to the damaged facility to ensure that it is secure and to prevent more damage or theft.
   c. assist in establishing the alternate site.
3. Locate and maintain a list of potential alternate sites (liaise with external agencies as required).
4. Assist in the establishment of policies and procedures relating to the Damage Assessment and Salvage Teams.

Activities:

1. Contact building inspector for damage inspection.
2. Select site and initiate relocation.
3. Allocate space requirements to organizations based on established priorities.
4. Ensure a logical layout of allocations to permit efficient functioning.
5. Coordinate the activities of the Damage Assessment/Salvage Teams.
5. Maintain a log of activities.

* **Required Information**:

List all the information and resources that will be required to undertake the activity in a timely manner (forms, references, procedural information, lists of key personnel, emergency contact numbers, etc.).

ACTIVITY SHEET

Position: ***Information Technology Coordinator***

Primary: ______________________________ **Phone:** __________________

Alternate: ______________________________ **Phone:** __________________

Responsibilities:

1. Maintain a list of local suppliers for all IT resources.
2. Maintain a list of alternate suppliers outside the region for all IT resources.
3. Maintain a list of qualified contractors for specialized installations.
4. Maintain a list of all current assets and their locations.
5. Determine resources needed to implement BRP.
6. Determine the recovery priorities based on anticipated departmental needs.
7. Develop and maintain a list of companies that specialize in electronic records salvage.

Activities:

1. Contact local suppliers (as required) to obtain essential resources.
2. Contact alternate suppliers (as required) outside the region to obtain essential resources.
3. Control the distribution of resources as required.
4. Coordinate the requirements for specialized installations.
5. Maintain a record of purchases and expenditures.
6. Address departmental needs for essential information and prioritize records retrieval.
7. Contact Information Salvage companies as required.
8. Maintain a log of activities.

*** Required Information:**

List all the information and resources that will be required to undertake the activity in a timely manner (forms, references, procedural information, lists of key personnel, emergency contact numbers, etc.).

PART 3

TRAINING & AWARENESS

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ANNEXES

A Business Resumption Planning (BRP) Course Information Sheet

B BRP Training Lesson Description

1 INTRODUCTION

The Business Resumption Planning (BRP) Directorate of the Department of Municipal Affairs, Disaster Services Branch, will extend their expertise and resources to the various departments of the Government of Alberta to help them meet the objectives of the Disaster Services Act. This will help ensure the same level of service(s) that exist for emergency planning, will exist for BRP.

- Section 3(b) of the Government Emergency Planning Regulation – *"The deputy head of a department must ensure that the department prepares and maintains a business resumption plan to ensure that the department can provide essential services in emergencies."*

1.1 INTRODUCTION TO BUSINESS CONTINUITY

When a dramatic event has occurred and your department has handled the initial safety responses through the implementation of your Emergency Operations Plans, you need to begin the task of business resumption - preparing your department to resume:

- essential services and programs of your department,
- interactions with your essential resources - people, information, assets, facilities, etc.

To provide an understanding of the requirements of business resumption, it is necessary to step back and ask some preliminary questions that will help explain the Business Continuity Cycle and where Business Resumption fits into the overall process.

Through Business Continuity you should be able to answer three questions:

First - What could go wrong? (your Risk Assessment).

Second - If something went wrong, how would it affect our business? (your Business Impact Analysis).

Third - How would we resume the essential services of our business? (your Business Resumption Plan).

Your answers to these questions will help determine your business resumption strategies, which should be documented and exercised every year. Business Continuity Planning is fundamental to long-term business success.

Part 1 – Figure 1 (page 4) represents the *Disaster Management Cycle*, the processes through which Managers deal with disaster situations.

Part 1 – Figure 2 (page 5) represents the *Business Continuity Cycle*. This cycle describes the processes through which Managers prepare for situations (such as fires) that negatively impact the normal operation of their department, mitigate their possible effects, and reduce the risk of loss. It also aids them in reacting to disasters, and helping the people and departments restore essential services when they occur.

Part 1 – Figure 3 (page 12) depicts the planned structures of the *Business Resumption Teams.*

The following definitions help describe Business Resumption and the Business Continuity Cycle. For a complete list of definitions, please refer to *Part 1 – Annexes K and L.*

Business Resumption Plans - ensure A plan that when activated provides for the orderly cost effective resumption of a department's essential services, programs and operations if and when a disruption occurs for any reason.

Emergency Operations Centre (EOC) - An operations centre established in a suitable location to manage the larger aspects of the emergency. In a high impact emergency there may be a number of EOCs established to support the response. These may include corporate EOCs (regional, headquarters), municipal EOCs, a joint regional EOC and the provincial government EOC (see Government Emergency Operations Centre).

Resumption Operations Centre (ROC) - Facilities established to manage the resumption of essential services, programs and operations.

Resumption: The process of planning for and/or implementing the recovery of essential services immediately following an interruption or disaster.

Recovery: The process of planning for and/or implementing recovery of less time sensitive business operations and processes after critical business functions have resumed.

Restoration: The process of planning for and implementing full-scale business operations that allows the organization to return to a normal service level.

1.2 WHY WE SHOULD TRAIN

In Section 3 **of the** Disaster Services Act, Alberta Regulation 62/2000 **states:**

"The deputy head of a department must ensure that the department ....

(b) *prepares and maintains a business resumption plan to ensure that the department can provide essential services in emergencies,"*

Hence, it is essential that each department has a Business Resumption Team Manager (BR Team Manager) who is well versed on the business resumption requirements for the department. This individual should also have the authority to make the decisions necessary to support the business resumption activities of the department. In order to effectively respond to an emergency or disaster, the BR Team must be adequately trained. Without training prior to a disaster, the resumption team would be unprepared and likely unable to respond.

The BR Team Manager is the key player in departmental resumption plans in the event of a service interruption caused by a dramatic event (fire, explosion, virus, etc.). They are responsible for reviewing and refining the BRP for their department as well as coordinating initial activation of these plans. If it is determined that major equipment, facilities, and / or site damage has occurred, the BR Team Manager will recommend activating the alternate site and resources identified within the BRP. The BR Team Manager is responsible for ensuring that the department is able to return to a 'temporary' facility in order to resume essential departmental services following a disruption.

Once the permanent facilities have been restored, the BR Team Manager will also help coordinate the transfer of operations from the temporary facility by following the same sequence of steps used to set up the temporary back-up site.

We would expect that the return to normal operations would proceed under less duress than the establishment of emergency operations. Logs should be kept during business resumption and should be used to highlight, troubleshoot and resolve any problems that arose during earlier restorations.

2 OBJECTIVES OF BRP TRAINING

At the end of this introductory level course, the participants will have a general understanding of Business Continuity and a working understanding of BRP. They will be able to operate within a framework that supports and promotes departmental preparedness efforts, as well as having acquired basic disaster management skills.

2.1 TRAIN THE TRAINERS – THE BR TEAM MANAGERS

Disaster Services will arrange to provide training for the BR Team Managers and their teams as required. The BR Team Managers are responsible for ensuring that their departmental teams are trained and current on the requirements of their BRPs. For this, they may be required to conduct supplemental training within their department.

2.2 INTRODUCTION TO THE 12 STEPS OF BRP DEVELOPMENT

We are recommending that BRP development be undertaken through a process. These steps (which are described in detail within Part 1 of the Planning Guide) are outlined below:

Step1 - Gain the concurrence of departmental executive management.

Step 2 - Develop a Departmental Business Resumption Policy.

Step 3 - Promote departmental awareness and communicate a policy statement *(senior management concurrence).*

Step 4 - Assemble a BRP Team and establish a planning structure.

Step 5 - Establish a planning timetable *(senior management concurrence).*

Step 6 - Identify, categorize, and prioritize your critical, essential, necessary and desired services. Services or business outputs are normally located within current business plans and other strategic documents. A departmental review of services may be conducted if clarification of departmental services is necessary (*senior management concurrence*).

Step 7 - Conduct a Risk Assessment.

Step 8 - Design and write the Business Resumption Plan.

Step 9 - Confirm business resumption management protocols, conducted in conjunction with Step 8 (*senior management concurrence*).

Step 10 - Design and implement a departmental business resumption training program for initial team training and ongoing training (*senior management concurrence*).

Step 11 - Design and implement business resumption plan maintenance protocols.

Step 12 - Design, coordinate and implement an exercise and validation process (*senior management concurrence).*

3 TRAINING POLICIES AND GUIDELINES

3.1 TRAINING FOR BRP TRAINERS

Disaster Services will develop, coordinate and provide training for the BR Team Managers.

3.2 TRAINING REQUIREMENTS

The BR Team Managers will identify those individuals within their department who require training.

3.3 DEPARTMENTAL TRAINING

The BR Team Managers will arrange all training required within the departments. They coordinate resource availability and arrange training sessions as required. Training may include collective training conducted by Disaster Services Officers.

4 TRAINING CONCEPTS

Training and education are essential elements of a business resumption program. Providing individuals who have a role in business resumption with the necessary knowledge and skills will enable a coordinated and effective response and will enhance the overall level of preparedness.

Business Resumption training can be seen as occurring at two levels - individual and collective:

- *Individual training* involves personal study and participation in workshops, seminars and courses.
- *Collective training* involves a coordinated effort to bring the departmental business resumption plans together. Through disaster exercises and mock disasters, individuals will be provided with experiential learning opportunities as well as knowledge in validating an organization's business resumption plan.

The learning objectives for the course have been designed to provide students with knowledge and skills that will assist them in carrying out their business resumption functions. This includes information on legislation requirements, Alberta's emergency preparedness framework, and the disaster environment.

Overall, training should incorporate lessons learned during responses to emergencies and disasters. In doing so, actions or activities that worked well can be repeated, and those that were less effective can be avoided. Although a challenging process, it is important to capture the lessons learned on the job and to share them with others who may face a similar situation.

4.1 WHO TO TRAIN

Disaster Services should provide training for the BR Team Managers. The BR Team Managers should train the members of the respective BR Teams.

4.2 WHEN TO TRAIN

Training should take place whenever there is a change in the BR Team Manager, or when the BR Team has sufficient change that either an individual or training is warranted. Training requirements must be reviewed regularly, once a year at a minimum, in conjunction with the ongoing review of the BRP.

4.3 WHERE TO TRAIN

Training should be conducted wherever facilities can be arranged that meet the needs of the group being trained.

5 IDENTIFICATION OF TRAINERS AND RESOURCES TO BE TRAINED

A BR Team Manager will be identified for each department and will be trained as the point of contact for his/her department. Individuals from within their organization will be identified as BR Team members for their sub-departments. The BR Team Manager will be responsible for the training of these BR Team members.

6 TRAINING PLANS

The initial training for the Business Resumption Plans will be conducted with the BR Team Managers, in sessions that will be arranged to accommodate resource availability. *Part 3 - Annex A* provides an outline of the *Business Resumption Planning Course*.

6.1 SPECIFIC STANDARDS

The following structure will form the basis of the training provided:

- Introduction to Business Continuity
- Introduction to BRP
- BRP Sequence
- Plan Structure
- Risk Assessment
- Business Impact Analysis
- Activation and Implementation
- Maintenance and Validation

Part 3 - Annex B provides a *BRP Training Lesson Description.*

6.2 TRAINING POLICY

Centralized individual training will be provided by Disaster Services for the BR Team Managers. The BR Team Manager is responsible for coordinating and completing the training for the BR Team members within their department. Formal and/or informal training sessions can be arranged and provided as necessary.

6.3 ONGOING TRAINING

Ongoing training will be conducted as identified in *Part 3 - Section 4* of this document.

6.4 TRAINING FREQUENCY

As identified in *Section 4.2*, training requirements for BRP must be reviewed once a year (at a minimum) in conjunction with the ongoing and annual reviews of the BRP.

6.5 TRAINING REVIEW

The BR Team Managers will conduct annual review sessions with their teams to ensure departmental BRPs are current and team members are up-to-date with the BRP processes.

6.6 CONDUCTING TRAINING

It is recommended that training for BRP be conducted in a face-to-face environment. In conjunction with the identified needs of the individual departments and their BR Team Managers, Business Resumption Training will be scheduled to take place as required.

PART 3

ANNEXES

BUSINESS RESUMPTION PLANNING (BRP) COURSE INFORMATION SHEET

Managing business resumption activities following a major event is beyond the scope of routine practices and procedures. The occurrence may have caused death, injury or widespread damage. Employees may have been forced from their offices and department operations may have been disrupted. There is likely to be intense media interest, convergence of volunteers (solicited and unsolicited) and offers of assistance from outside of the department. The department is faced with the task of managing and co-coordinating resumption efforts. For this, they must have plans in place that allow them to handle the increased volume, urgency, scope and intensity of activities during this time.

The BRP training course provides participants with knowledge and skills that will assist them in preparing for and carrying out their business resumption functions. This includes information on legislation requirements, Alberta's emergency preparedness framework and the disaster environment, giving the attendees the opportunity to understand the theories and concepts required to develop and exercise a business resumption plan.

COURSE AIM

This course is directed at individuals who will be filling the role of Business Resumption Team Manager or Business Resumption Team Coordinator and who will be involved in the development or management of business resumption plans. On this course, participants will review Business Continuity, BRP and development of business resumption plans. In addition, the course will include discussion on maintaining and exercising business resumption plans.

SCOPE

Upon completion of this course, participants:

- Understand the Business Continuity and Disaster Management Cycles.
- Understand the Emergency Preparedness Legislation within Alberta's framework.
- Understand the requirements, components and characteristics of a business resumption plan.
- Are able to identify departmental business services.
- Are able to conduct a risk assessment.
- Are able to conduct a business impact analysis.
- Are able to prepare and document the departmental business resumption plan.
- Understand the purpose of maintenance of the business resumption plan.
- Understand the processes of BRP activation and implementation.

TARGET AUDIENCE

- BR Team Managers.
- Departmental BR Team Members.

COURSE LENGTH

A minimum of 3 or 4 hours (1/2 day) is required to achieve the priority learning objectives.

PRE-REQUISITE

None.

ESSENTIAL HANDOUTS

- Disaster Services Act.
- Other to be determined.

NOTE: The trainer may also wish to provide:

- Planning Worksheet and Training Plans.
- Class List.
- Departmental materials as required or available (e.g. organization charts, etc.).

BRP TRAINING LESSON DESCRIPTION

PO 01 Business Resumption Planning Course - Introduction

PERFORMANCE: Demonstrated understanding of Business Continuity & Disaster Management Cycles
CONDITIONS: Presentation and discussion (Trainer can modify)
STANDARD: Trainer determines
EVALUATION: Trainer and participants (Trainer can modify)

PO #	ENABLING OBJECTIVES	TOPICS	TIME	REFERENCE (S)
01.01	**Introduce the participants to the Business Resumption Planning (BRP) Course.** Teaching Points • **BRP Course**	**BRP Course Outline**	**5 min.**	
01.02	**Introduce the participants to the Disaster Services Act.** Teaching Points • **Disaster Services Act**	**Alberta Municipal Affairs, Disaster Services** • **Emergency Planning Regulations** • **Disaster Services Act**	**3 min.**	**Emergency Planning Alberta Government Regulations** **Disaster Services Act, Alberta Regulation 62/2000**
01.03	**Describe Business Continuity in general terms.** **Explain how and where Business Resumption fits into the process.** Teaching Points • **Business Continuity**	**Business Continuity** • **BCP** • **EOC / GEOC** • **ROC** • **BRP**	**2 min.**	
01.04	**Describe the Business Continuity Cycle in general terms.** **Explain and demonstrate how and where Business Resumption fits into this process.** Teaching Points • **Business Continuity Cycle**	**Business Continuity Cycle** • DISASTER / Incident / Interruption • **Emergency Response and/or Resumption** • **Recovery and Restoration** • **Lessons Learned** • **Implement Improvements and Updates** • **Normal Government Business**	**2 min.**	**BR Guide, Part 1, Figure 2**

PO 01 Business Resumption Planning Course - Introduction

PERFORMANCE: Demonstrated understanding of Business Continuity & Disaster Management Cycles
CONDITIONS: Presentation and discussion (Trainer can modify)
STANDARD: Trainer determines
EVALUATION: Trainer and participants (Trainer can modify)

PO #	ENABLING OBJECTIVES	TOPICS	TIME	REFERENCE (S)
01.05	**Describe in general terms the Disaster Management Cycle.** **Explain and demonstrate how and where Business Resumption fits into this process.** Teaching Points • **Disaster Management Cycle**	**Disaster Management Cycle** • DISASTER / Incident / Interruption • **Emergency Response** • **Resumption** • **Recovery** • **Lessons Learned** • **Improvements & Updates** • **Normal Operations** **Internal Cycle** • **Mitigation & Preparedness**	**2 min.**	**BR Guide, Part 1, Figure 1**

BRP TRAINING LESSON DESCRIPTION

PO 02 Business Resumption Planning Course – Introduction to Business Resumption Plans

PERFORMANCE: Demonstrated understanding of the Business Resumption Plan
CONDITIONS: Presentation and discussion (Trainer can modify)
STANDARD: Trainer determines
EVALUATION: Trainer and participants (Trainer can modify)

PO #	ENABLING OBJECTIVES	TOPICS	TIME	REFERENCE (S)
02.01	**Provide an understanding of the purpose and function of a Business Resumption Plan.** Teaching Points • **Business Resumption Plan**	**Characteristics** **Requirements**	**10 min.**	**BR Guide, Part 2 - BRP Plan Outline**
02.02	**Provide an understanding of the process followed to develop a Business Resumption Plan.** Teaching Points • **12 Step Program**	**12 Planning Steps**	**5 min.**	

BRP TRAINING LESSON DESCRIPTION

PO 03 Business Resumption Planning Course – Development of a Business Resumption Plan

PERFORMANCE:	The learner must demonstrate an understanding of the principles, components and characteristics of a successful disaster preparedness program
CONDITIONS:	Presentation and discussion (Trainer can modify)
STANDARD:	Trainer determines
EVALUATION:	Trainer and participants (Trainer can modify)

PO #	ENABLING OBJECTIVES (EO)	TOPICS	TIME	REFERENCE (S)
03.01	**Provide an understanding of the components of a Business Resumption Plan.** Teaching Points • **BRP Outline and Structure**	**Policy** **Planning** **Testing** **Education Plan** **Structure** **Risk Assessment** **BIA** **Activation and Escalation**	**15 min.**	**BR Guide, Part 1, Figures 3-5**
03.02	**Provide an understanding of the process followed to develop a Business Resumption Plan.** Teaching Points • **Business Resumption Plan**	**Continuous Process** **8 Sections of the BRP**	**5 min.**	

BRP TRAINING LESSON DESCRIPTION

PO 04 Business Resumption Planning Course – Risk Assessment

PERFORMANCE: The learner must demonstrate an understanding of departmental Risk Assessment
CONDITIONS: Presentation and discussion (Trainer can modify)
STANDARD: Trainer determines
EVALUATION: Trainer and participants (Trainer can modify)

PO #	ENABLING OBJECTIVES	TOPICS	TIME	REFERENCE (S)
04.01	**Enable participants to identify and minimize the exposures to certain threats that their department may experience.** Teaching Points • **Risk Assessment**	**Identification of Business Services** **All Hazards Approach to Risk Assessment**	**45 min.**	**BR Guide, Part 1, Section 3.7**

BRP TRAINING LESSON DESCRIPTION

PO 05 Business Resumption Planning Course – Business Impact Analysis

PERFORMANCE: The learner must demonstrate an understanding of Business Impact Analysis
CONDITIONS: Presentation and discussion (Trainer can modify)
STANDARD: Trainer determines
EVALUATION: Trainer and participants (Trainer can modify)

PO #	ENABLING OBJECTIVES	TOPICS	TIME	REFERENCE (S)
05.01	**Confirmation of the order in which departmental services will be resumed.** **Identification of resource requirements to resume respective services.** Teaching Points • **Business Impact Analysis** • **Writing the BRP**	**Prioritized Departmental Services** **Business Impact Analysis** **Preparation of the BRP**	**55 min.**	**Categorized services from *Step 6* of the BRP development sequence**

BRP TRAINING LESSON DESCRIPTION

PO 06 Business Resumption Planning Course – BRP Activation and Escalation

PERFORMANCE: The learner must demonstrate an understanding of how to activate and escalate the departmental Business Resumption Plans
CONDITIONS: Presentation and discussion (Trainer can modify)
STANDARD: Trainer determines
EVALUATION: Trainer and participants(Trainer can modify)

PO #	ENABLING OBJECTIVES	TOPICS	TIME	REFERENCE (S)
06.01	**Describe in general terms the activation of the BRP.** Teaching Points • **Activation of the BRP**	**Activation Process** **First Alert Procedures** **Update Requirements** **Resumption Activities**	**10 min.**	**BR Guide, Part 1, Section 3.9**
06.02	**Describe in general terms the escalation requirements of the BRP.** Teaching Points • **Escalation of the BRP**	**Escalation Routines** **Update Requirements**	**5 min.**	

BRP TRAINING LESSON DESCRIPTION

PO 07 Business Resumption Planning Course – Maintenance and Validation of the BRP

PERFORMANCE:	Demonstration Maintenance and Validation Requirements for a BRP
CONDITIONS:	Presentation and discussion (Trainer can modify)
STANDARD:	Trainer determines
EVALUATION:	Trainer and participants (Trainer can modify)

PO #	ENABLING OBJECTIVES	TOPICS	TIME	REFERENCE (S)
07.01	**Describe in general terms the maintenance requirements of the Business Resumption Plans.** Teaching Points • **Maintenance of the BRP** • **Training of the BRP Team**	**Update Requirements for the BRP** **Training Plans** • **Review Requirements** • **Approval by BR Team Manager** **Ongoing Training**	**10 min.**	**BR Guide, Part 1, Section 3.11**
07.02	**Describe in general terms the validation requirements of the Business Resumption Plans.** Teaching Points • **Validation of the BRP (through an exercise)**	**Validating the BRP** **Exercising your Plan(s)** • **Scenario Development** • **Sudden Unexpected Event** • **Facilities and Resources Unavailable** • **Assistance Available is Limited**	**5 min.**	**BR Guide, Part 1, Section 3.12**

PART 4

EXERCISE & VALIDATION

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1 INTRODUCTION

1.1 PURPOSE

To provide your BRP Team with detailed guidance to assist you in the development and implementation of a departmental BRP exercise program, leading to the validation of your BRP.

This part of the *Business Resumption Guide* is organized in eight sections that provide an exercising process applicable to business resumption planning:

Section 1	Introduction
Section 2	Exercise Policy
Section 3	Exercise Objectives
Section 4	Exercise Types and Scheduling
Section 5	Planning and Preparation
Section 6	Conduct of the Exercise
Section 7	Post-Exercise Activities
Section 8	Lessons Learned Process

1.2 DEFINING AN EXERCISE

An exercise can be defined as *"practice of an ability, quality, etc."* and *"a process directed at or concerned with something specified."* An exercise may or may not be a test; however, it will likely possess one or more of the following characteristics:

- It is an organized activity;
- It can be a measured activity;
- It is an activity based on set objectives;
- It is a pre-determined, calculated and controlled activity; and
- Participants and facilitators work with pre-set and developing expectations.

In the context of business resumption planning and activation, there are general components that should exist for each exercise you plan and conduct. As a minimum, an exercise should have the following components:

- An aim;
- Objectives;
- Conditions and assumptions;
- Participation guidelines;

- Timelines;
- Administrative and logistic parameters; and
- Support guidelines for controllers and observers.

1.3 IMPORTANT DEFINITIONS

Exercise Cycle

For the purpose of business resumption planning, an exercise cycle constitutes a series of exercises culminating in a department-level exercise. *- Business Resumption Guide*

Schedule

A list or plan of intended events. Any list, form, classification, or tabular statement. *- Oxford Dictionary, 1995 edition*

Exercise Program

An established series of objectives, exercises and related functions in support of a business resumption plan, including an exercise cycle and schedule. *- Business Resumption Guide*

Enclosed, as *Annex A*, is an illustrated example of an Exercise Program.

1.4 CONDITIONS LEADING TO AN EXERCISE PROGRAM

Prior to implementing an exercise program, it is essential to have the following conditions established:

- Your department has already created a BRP Team and a plan has been developed and reviewed.
- Your department has distributed the plan and conducted detailed training for the BRP team and applicable participants. BRP awareness sessions have been conducted for other staff.
- Once created, the BRP remains the responsibility of the department, specifically the BRP Team.
- Your exercise policy has been reviewed and approved by senior management.

1.5 WHAT YOU GAIN FROM EXERCISING YOUR BRP

Throughout the BRP process, significant emphasis will be placed on the need to conduct exercises. It is important to remember the return on your 'investment' in exercising, based on the following:

- Certain decisions can be determined long before an actual resumption scenario occurs;
- Confusion will be reduced during a resumption situation (the confusion will have occurred in the exercise).
- Overall resumption time objectives can be met in much less time.
- Costs of resumption will be reduced.
- Your business resumption team and departmental staff will be provided with the opportunity to work as a more cohesive group.

As stated above and in *Part 1 of this Guide*, exercising the plan is your *only means to ensure that the procedures identified in your plan will work.* From checking for accuracy of information, to confirming the sequence of events for activation and the decision making process, exercising your plan will ensure your team and all staff are not only conversant with your plan, but confident in it.

1.6 EXERCISE PLANNING STEPS

The process for developing an exercise must be logical, methodical, all-inclusive and consistent with that expertise and knowledge. The exercise design process generally includes a number of key planning steps (refer to *Annex B* for the *Exercise Planning Steps* diagram):

Step 1 - Identify the portion(s) of the BRP that need(s) to be reviewed or exercised.

Step 2 - Establish a general objective for the exercise.

Step 3 - Establish an exercise planning team.

Step 4 - Identify specific goal(s), context, parameters, and participants for the exercise.

Step 5 - Develop the exercise through the following activities:

1. Define the goal and objective of each major activity.
2. Establish the general scenario for the exercise.
3. Develop a master events list.
4. Develop a detailed event list.
5. Establish anticipated action(s).
6. Draft appropriate messages or inputs.

Step 6 - Establish appropriate safety measures.

Step 7 - Identify needed support and logistical requirements.

Step 8 - Develop an appropriate exercise evaluation mechanism.

Step 9 - Establish exercise control mechanisms (control staff, simulation staff, observers).

Step 10 - Prepare exercise instructions.

Step 11 - Gain approval for the exercise.

Step 12 - Issue appropriate exercise instructions.

Step 13 - Brief participants and observers on the conduct of the exercise.

Step 14 - Conduct the exercise.

Step 15 – Deliver a post-exercise debriefing.

Step 16 - Prepare the post-exercise report.

Step 17 - Present the post-exercise report and provide recommendations.

Step 18 - Track recommendations.

Step 19 - Conduct corrective training or exercises.

1.7 THE NATURE OF EXERCISES

Business resumption exercises, like other exercises, are susceptible to the inter-personal and institutional culture characterized by organizational behavior. The aim of an exercise is to confirm that the detailed process will work. The effectiveness of an exercise can be found in the scope of changes and improvements made to resumption strategies within the plan and in the conduct of a resumption plan activation.

The objective of exercising your BRP is to determine if the plan is capable of providing the desired level of support to your department's most critical services. An exercise validates the effectiveness of resumption plan procedures to deliver the required level of support specified by the scope and objectives of the plan. Consider the following:

- Do not over-exercise. The goal is to learn and discover vulnerabilities, not to generate failure and frustration.
- Final integrated BRP exercising may be aggressive in order to reveal vulnerabilities not observed at the departmental level.
- A BRP has little value until it is exercised.

In addition to the initial exercise of the plan, you should develop an annual exercise program that will ensure the currency and effectiveness of your plan, and that it is in line with departmental changes.

1.7.1 CONFIDENTIALITY

An exercise should be properly managed in order to reduce levels of unnecessary stress and apprehension amongst participants. When considering your first exercise, it is important to keep in mind that participants will normally not want their individual or organizational shortcomings publicly addressed. Participants are often likely to have had little time to prepare, and exercise planners should assume participants have a limited business resumption background.

1.7.2 THE PASS OR FAIL DILEMMA

The best-planned and executed exercise may not achieve its objectives if participants do not believe they have achieved something positive. You can achieve successful results through a well-defined exercise aim and realistic objectives. It is important to keep in mind that developing team cohesion and increasing awareness are invaluable elements in achieving your exercise goals.

1.7.3 BUDGETING FOR EXERCISES

As with all business operations, there is a need to forecast the costs of your exercise program. Often, the cost of conducting an exercise can be minimized in monetary terms if organized and conducted by your department; however, it is acknowledged that other resource costs increase proportionally. The cost of an exercise will be primarily determined by the nature of activities, number of participants and length of time utilized.

Costs that will be incurred fall into two categories: *administrative and logistics*; and *consultancy fees*, if applicable. General administrative costs may include:

- Renting an exercise site;
- Meals for participants;
- Travel and accommodation if participants must travel to the exercise location;
- Equipment rental, including IT systems, audio-visual support;
- Documentation production;
- Exercise scenario support, e.g., videos and role players;
- Communications, including radios, telecommunications, etc.; and
- Exercise set-up and clean up.

As part of BRP project management, exercise costs should be forecasted, based on specific exercise needs.

1.8 EXERCISE INFORMATION IN THE PLAN

There is no requirement to include all exercise documentation in the BRP. It is recommended that you only include your exercise concept in *Section 8* of your plan, in accordance with recommendations made in *Parts 1 and 2 of this Guide*. As long as your team and staff understand the department's exercise policy, objectives, methodology, schedule and post-exercise reporting, and lessons learned procedures, the rest of the exercise documentation can, and should be, maintained separately. This will facilitate amendments or replacement of the plan when changes are required.

2 EXERCISE POLICY

2.1 PURPOSE

To provide guidance in the preparation of departmental policy with respect to exercising and validating your business resumption plan.

The policy and supporting information will be included in the BRP. As recommended in *Parts 1 and 2 of the Guide*, the last section of your plan should include general statements that will inform the reader on how the department intends to initially validate the plan, and how it intends to ensure the plan is current and effective through continuation exercises.

2.2 POLICY CONTENT

Your exercise policy should include the following components:

2.2.1 GENERAL POLICY STATEMENT

Exercise and validation objectives are essential, and should be included in a Policy Statement within your BRP. Exercises should be conducted to facilitate initial validation of the plan, and conducted regularly thereafter to ensure that the plan remains current.

2.2.2 RESPONSIBILITY

The individual responsible for exercise planning, preparation and conduct must be clearly identified. The BRP Team Manager is the logical choice to oversee these functions.

2.2.3 METHODOLOGY

Although not mandatory, a general description of the type of exercises that will be conducted and the amount of time participants can be expected to dedicate in exercising on an annual basis will assist in ensuring that the necessary time is available.

2.2.4 SCHEDULE

If possible, a general annual exercise schedule should be included. This will ensure maximum participation by key participants. In many cases, an organization can determine a particular time of year when exercises should culminate, normally based on the high threat and risk season, concurrent with time sensitive organizational activities, or when there is a maximum availability of participants.

2.2.5 EXERCISE PROGRAM BUDGETING

Definitive resource expenditure and cost capturing processes and responsibilities should be stated as part of the exercise policy.

2.2.6 OTHER

Additional paragraphs could be included to describe performance measurement, post-exercise reporting, lessons learned, and change management processes. These statements will serve to emphasize the determination of departmental leadership to maintain a current and effective plan.

2.2.7 EXERCISE DOCUMENTATION

The final paragraph should outline who is responsible for distribution and retention of all exercise material. Exercise documentation should be maintained on file for a minimum of one year in order to track the progressive nature of the exercises and recommended changes. Once the new exercise cycle begins, files may be archived.

2.3 SUMMARY

The policy section of a plan is designed to provide general information on the importance, intended methodology and schedule of an exercise program. As with all policy statements, a department's commitment to the ultimate validation of its BRP is can be found in its exercise program policy statement.

3 EXERCISE OBJECTIVES

3.1 PURPOSE

To provide guidance in setting objectives for exercises in order to ensure your BRP is feasible in practice.

3.2 WHAT IS AN OBJECTIVE?

According to *The Concise Oxford Dictionary*, an objective is *"something sought or aimed at; an objective point."* The guiding objectives behind your BRP exercises are to determine whether the assumptions and procedures identified in your plan(s) can provide the required level of support for the department or agency's essential business services.

3.3 INTRODUCTION

Through your exercises, you should attempt to complete the activities identified within your BRP, enabling resumption of essential services. The scope of these exercises should help validate the:

- Completeness of your BRP;
- Feasibility of the procedures identified to resume essential services;
- Efficiency and effectiveness of the procedures identified within your plan(s);
- Readiness of the department to resume essential services; and
- Ability of the department to implement the plan within a specified time period.

The Business Resumption Management Team determines how to implement and administer their exercise program, and then develop the objectives for each exercise. In setting these objectives, they should consider the:

- Number of facilities in which business is conducted;
- Uniqueness of the service, facility, or operation conducted;
- Number of similar facilities, services, or operations that exist;
- Number of employees in each facility;
- Number of services, functions or applications that exist at any given facility;
- Number of time-sensitive services and processes provided at each location;

- Number of service interdependencies;
- Department's resumption, recovery and restoration timeframes;
- Cost of a particular exercise versus the expected preparedness benefit;
- Availability of resources needed to adequately coordinate, manage and execute the exercise;
- Frequency and type of events that have occurred at the various locations over time; and
- Objectives that need to be re-exercised for a particular business operation, function, process or application system.

The activities developed to conduct the exercise should emphasize the need to achieve the exercise objectives. They should also set an appropriate tone for the exercise, to encourage maximum participation, and establish a process to track results, comments, and recommendations for future exercises.

The completion of your exercises will provide you with an opportunity to:

- Determine if the exercise objectives were met;
- Obtain a cost assessment of your resumption activities;
- Identify and make the necessary adjustments to your plan and the environment in which it is to be exercised and implemented; and
- Allow the responsible official(s) to determine whether the BRP, as exercised, is acceptable.

3.4 HOW TO IDENTIFY AND SELECT YOUR OBJECTIVES

Objectives should be established through discussions between your Business Resumption Management Teams and your managers. Through direct involvement, they will understand that the success of the exercise is dependant on the information they provide, and they will help ensure that the information provided is current and complete. When the objectives for the exercise have been set, the Business Resumption Teams will proceed with the development of the exercise (see *Sections 4 and 5* for details). Exercise documentation should clearly outline the objectives for your exercise and demonstrate management support in achieving those objectives.

3.5 CONFIRMING OBJECTIVES

To ensure the success of your exercise, your objectives should meet the following criteria:

- They are realistic;
- They have received senior management approval;
- They address what you want achieved through the exercise;
- They are clear and concise;
- They correspond with your overall business objectives and support your departmental vision, etc.; and
- ***They are realistic.***

3.6 RE-AFFIRMING OBJECTIVES DURING AN EXERCISE

It is the responsibility of the Exercise Director and all others in a leadership role to reaffirm previously chosen objectives throughout the exercise. In theory, a properly planned and conducted exercise would preclude the need to restate or reinforce objectives; however, once an exercise commences, some control will be lost by those responsible for its conduct. The primary reasons for reaffirming exercise objectives may include the following:

- Prevent the inefficient expenditure of time and resources;
- Ensure the scope of the exercise is maintained;
- Supervisors can refocus participants if there is intentional or inadvertent confusion during parts of the exercise;
- Exercise design may lead to groups working in isolation; and
- Exercise conditions may lead to the degradation of participant capacity, reducing their ability to effectively complete assigned activities.

To determine if the objectives of the exercise have been met, you will require a review or evaluation of the exercise and its results. This is addressed in *Section 7.*

3.7 OBJECTIVE EXAMPLES

The following examples are relevant to business resumption in the context of the Government of Alberta. These questions should be addressed when developing BRP exercise objectives. Your department could adopt these or many others as part of your overall exercise strategy:

- Is the plan complete? (Determine completeness and applicability of the plan.)
- Can the plan be executed as designed? (To confirm plan activation, process execution, etc.)
- Confirm personnel awareness and the overall level of awareness and preparedness for your BRP. (Is the level of awareness sufficient? Is a measurement required to determine success? Do all personnel know what to do, how to do it, when to do it, where to do it, and why they are doing it?)
- Are all minimum acceptable levels of service for critical processes achieved by executing the plan? (To confirm restoration of critical services.)
- Verify that your essential departmental services are correct. (Are the selected services critical, vital, necessary or desired?)
- Confirm your estimated resumption time objectives. (Are they realistic and correct?)
- Confirm the effectiveness of your activation procedures. (Were they correct? Were steps missed or not identified?)
- Confirm availability of your alternate site. (Is it available and are your activation procedures for it correct?)
- Determine completeness and applicability of the plan. (Did you identify gaps?)
- Confirm plan activation and process execution. (Did you identify gaps?)
- Confirm restoration of critical services. (Are timeframes acceptable? Were the correct services restored?)
- Confirm resource availability. (Were essential resources available? Are all resources identified and required by the plan available and in working condition?)
- Confirm security levels. (Was the required security available when and where it was needed? Are there acceptable levels of security provided to the data being generated and stored during the resumption operations processes?)
- Confirm process/system restoration and timeframes. (Were services restored and available within expected timeframes? Can the process/system be restored to normal operations after the plan has been executed?)
- Confirm your business impact analysis. (Were the identified impacts achieved?)

The ability of your managers to positively address and answer these questions could be construed as having met the acceptance criteria for the individual exercise. The focus is on exercising the BRPs of the individual departments. However, an integrated exercise of the BRPs from all departments should be conducted, setting the stage for the implementation of a cross-government exercise program.

4 EXERCISE TYPES AND SCHEDULING

4.1 PURPOSE

To provide guidance in scheduling business resumption exercises and choosing the appropriate exercise to achieve the objectives. These choices will help validate the efficiency and effectiveness of procedures in the BRP.

4.2 KEY CONCEPTS

The purpose of these exercises are to promote awareness, expand knowledge and simulate the activities required to resume essential services in the event of a business interruption. For this, exercises should:

- Be geared to validate the capabilities of the BRP, not the exercise participants;
- Involve both the primary and alternate resources;
- Avoid any requirement to repeat the exercises for the purpose of training;
- Be conducted on a progressive basis, with each exercise becoming more complex, until the entire BRP has been exercised;
- Be aggressive and fully integrated (where practical) in order to reveal vulnerabilities;
- Be developed to enhance group cohesion; and
- Be self-documenting.

4.3 EXERCISE CATEGORIES

There are many categories that could be used to conduct an exercise. For the purpose of the *Business Resumption Guide*, the focus will be limited to the methods identified below (which are also summarized in *Annex C*):

4.3.1 DESKTOP (also known as Tabletop or Structured Walk-Through)

This category provides one of the simplest forms of exercise. The facilitator may lead the participants through an exercise designed to confirm and enhance their understanding of their BRP. It can be based on discussions and open-ended questions, or be based on a walk-through scenario. It can involve any number of participants, and can provide the opportunity for staff to become familiar with their BRP and their roles in the resumption process. This type of exercise can run from less than an hour to a full day. The following are examples of what a desktop exercise might include:

- Confirmation that a copy of the BRP is available (at the worksite and at an offsite location). A simple question could be asked about the contents of a page (e.g. Section 3.7) to confirm that the respondent has a copy of the BRP;
- Confirmation that telephone lists are current (call numbers identified in the BRP);
- Identification of staff and resource requirements; and
- Provide triggers for the respective actions that would be taken in a resumption situation (a series of "what if's").

4.3.2 SIMULATION

This category provides a more complex form of exercise. These exercises are usually based on a scenario that goes through a simulation of the events and impacts of an actual disaster. The key components of the activities are identified and scenario events are developed and controlled throughout the exercise. The simulation can involve any number of participants and provide the opportunity for staff to interact with other departments to accommodate their BRP. This type of exercise can run from 3 or 4 hours to a full day. The major feature of a simulation is that without deploying personnel or resources, the Resumption Teams go through some or all of the activities that would be performed in the event of an actual business interruption. For example:

- A scenario is developed whereby the primary facility for the operation is not available (e.g. fire destroys the building). The scenario is played out and participants follow their BRP to enable resumption of critical and vital services. The exercise will help confirm the abilities of the department in dealing with the challenges of communication. It will focus on the use of the procedures and the equipment identified within the BRP to ensure the availability and viability of both during a business interruption. The participants make all the calls to contacts identified within their BRP, but no resources are moved, no facilities are activated, and no funds are spent.

4.3.3 FULL-SCALE EXERCISE

This category of exercise can be used to exercise activation of the entire BRP. While very useful, this method should only be used after significant consideration of several factors such as costs, knowledge levels, preparedness, and the impact on normal operations. It usually requires the movement of personnel and assets, expenditure of public funds, and could have a negative impact on normal operations. Before a full-scale exercise is considered, the costs, impacts and risks to daily operations MUST be determined, reviewed, and approved by senior management. For example:

- A scenario is developed whereby the primary facility for the operation is not available (e.g. fire destroys the building). As the scenario unfolds, the BRP Team is activated and goes to their ROC. The team activates the BRP and contacts the resources required for the resumption of critical and vital services, assembling them at the offsite location. Further activation continues as identified within the BRP. The level of involvement and the amount of participation is determined by the objectives established for the exercise.

4.4 EXERCISE CONSIDERATIONS

Although the BRP is most referred to in the singular, it may encompass subsidiary BRP's within the department or organization. Exercise Planning is covered in *Section 5*; however, the BRP group of Disaster Services is available to provide guidance or assistance in planning an exercise.

- Departmental response to an emergency is addressed as identified within the emergency plans for the department (see *section 3(a)* and *16(e)(ix)* of the *Alberta Regulation 62/2000 Disaster Services Act Government Emergency Planning Regulation*), and exercises would normally begin at the assembly point identified in the emergency plan.

- Exercises may be either paper based or functional in nature:

  - A paper-based exercise provides an opportunity for a walk-through that will simulate the responses for a pre-determined scenario. They can be interactive or situation/response type events. These are frequently used in *desktop exercises*, where participants are located in the same facility. These exercises:

    - Provide an opportunity for staff to become familiar with the processes contained within the BRP;
    - Explore issues related to the BRP; and
    - Raise the level of awareness in relation to the BRP.

  - A functional exercise is intended to create a simulated environment that is as close to the real event as possible. These are frequently used in *simulation* and *full-scale exercises*. There will likely be role-playing, and participants are expected to react as they would in a real situation. These exercises:

    - Provide an opportunity for staff to practice the resumption processes contained within their BRP; and
    - Identify procedural problems in relation to the BRP.

- Exercises have differences in purpose, scope, the responses or actions required of the participants, and the level of stress to be imposed:

  - Purposes can range from training and familiarization to a rigorous exercise of the BRP and the participants' ability to resume essential services.
  - The scope of the exercise should identify the services and processes being exercised, the teams that are to be activated, and the level of activation that is expected of the teams through their resumption operations.
  - Actions required can range from oral or written responses, and simulated actions to complete activation of the BRP.
  - Increasing the levels of stress creates a sense of importance and urgency to the exercise. Altering the time between tasks can increase or decrease the stress during an exercise;

- Exercises may be geared to validate a specific procedure within the BRP, or the entire BRP.

- Objectives should establish the boundaries for the exercise.

- Exercise scenarios should be based on simulated, realistic conditions using projected activity levels.
- Exercise scenarios should be developed with increasing complexity, until a fully integrated departmental exercise is completed.
- Use actual backup systems and data files, including off-site storage to ensure that the system may be restored from backup data.
- Include participation by objective third party observers (if possible).
- Conduct a post-exercise review and report process that includes a comparison of exercise results with original exercise goals to ensure that targeted elements were exercised and results were documented.
- Prepare a written action plan for correction of problem areas, including a timeline for task deliverables.
- Revise the BRP to incorporate lessons learned and then determine if there is a need for additional employee training or exercising of the BRP.

4.5 SCHEDULING CONSIDERATIONS FOR EXERCISES

Exercises may be advertised or unannounced. They could be scheduled to occur at any time of the day or night. They can be conducted monthly, quarterly, semi-annually, annually, or on an as required basis. The scheduling and timing chosen for the exercise will depend in part on the objectives for the exercise and the type of exercise being conducted. In general, an annual schedule should be prepared to identify when and where your exercises will be developed and conducted over the course of the year.

4.5.1 MONTHLY

This can involve simple activities to verify that information contained within the BRP is still accurate. Monthly exercises normally involve simulations that do not affect current operations or require the movement of assets or personnel (other than the Resumption Team). Examples include:

- Telephone callouts to confirm team members, vendor availability, etc.; and
- Equipment inventory and availability.

4.5.2 QUARTERLY

In addition to items identified with the monthly exercises, quarterly exercises can involve activities that verify the accuracy and applicability of the command and control functions. These exercises normally involve simulations only, and may not affect current operations or require the movement of assets or personnel (in addition to the Resumption Teams). Examples include:

- Call forwarding of telephones for essential personnel;
- Calling vendors with both business and after hours contact numbers; and
- Confirming replacement availability of critical and vital resources.

4.5.3 SEMI-ANNUALLY

In addition to items identified within the quarterly exercises, the semi-annual exercise can bring in all aspects of the BRP and exercise the interrelationships between departments. Flowcharts can help clarify and confirm the resumption processes, especially when trying to confirm the relationships between departments. However, these exercises normally involve simulations and they may not affect current operations or require the movement of assets or personnel (in addition to the Resumption Teams). Examples include:

- Dispatch of BRP team personnel to Resumption Operations Centres (ROC);
- Confirmation of LAN and data center management; and
- Communications activation.

4.5.4 ANNUALLY

An annual exercise is the most complex in terms of scope and nature. It can include all aspects of the BRP and exercise the interrelationships between departments. Flowcharts help clarify and confirm the resumption processes, especially when trying to confirm the relationships between departments. These exercises involve detailed simulations or functional activations. While attempting to keep business disruptions to a minimum, this COULD affect current operations and require the movement of assets or personnel and the expenditure of public funds. Examples include:

- Activation of the ROC; and
- Activation of the alternate site arrangements (e.g. data center, alternate operations facilities).

4.5.5 AS REQUIRED

An 'As Required Exercise' could be conducted at any time, in any mode, and involve any number of activities that verify the information contained or modified within the BRP. This may include something as minor as re-verification of a telephone tree or as significant as the activation of the ROC and the alternate site.

Once the BRP has been developed, a regular schedule should be developed to exercise the plan and the BRP Team. Initially, small parts of the BRP should be exercised so that it will be relatively easy to manage and schedule. A department could realistically plan to conduct six to ten monthly exercises, along with one quarterly and one semi-annual type exercise per year. Due to the time and resource commitments for a full-scale exercise, it should only be considered every 2 or 3 years and should be coordinated with Disaster Services, Business Resumption Planning.

4.6 EXERCISE SCOPE AND CONTENT

By combining the purpose, scope, responses or actions required of the participants, and the level of stress in a variety of ways, different types of exercises can be created (see an exercise example in *Annex D*). The type of exercise selected and conducted will depend in part on the objectives of the exercise and the frequency of occurrence. Exercises should be conducted sequentially for every BRP in the department. Although the following list is not all-inclusive, the exercise may involve situations that relate to:

- Checklists;
- Communications equipment;
- Communications with staff, the public and the media;
- Simulation of a single process or functional area;
- Operational events utilizing multiple processes or interrelated business units;
- Live occurrence;
- Alerting and notification drills;
- Compatibility of equipment;
- Decontamination of equipment;
- Direction and control;
- Mutual aid exercise (municipality to municipality; municipality to industry; municipality to contracted responder);
- Off-hours exercise;

- Readiness of alternate or resumption facilities;
- Reception centers;
- Relocation exercises (alternate site, ROC, etc.);
- Staffing for 24-hour operations – 7 days per week; and
- Transportation, traffic and access control.

5 PLANNING AND PREPARATION

5.1 PURPOSE

To provide detailed guidance for the effective planning and preparation of an exercise.

5.2 EXERCISE CYCLE

An exercise cycle should be developed and conducted. If possible, this cycle should be repeated annually. However, Business Resumption Management Teams must decide, based on policy established by senior management, how to implement and administer this cycle within their respective departments. Specific considerations include:

- The number of facilities in which the organization conducts business;
- The number of employees in each facility;
- The frequency and type of events that have historically occurred at the various locations;
- The number of time-sensitive processes (essential services) conducted at each location;
- The number and type of application systems being used at each facility;
- The change rate within the organization's resumption and recovery teams;
- The number of objectives that need to be re-exercised for a specific business operation, function, process or application system;
- The cost of a particular exercise versus the expected preparedness benefit;
- Impact on other organizational activities; and
- The availability of resources required to adequately coordinate, manage, and execute the exercise.

The planning steps have been previously outlined in *Part IV, Section 1.* Those steps that are directly involved in the planning and preparation portion of an exercise are further described below.

5.3 DETERMINE CURRENT KNOWLEDGE BASE AND CAPABILITY

Effective exercises should be built on what individuals know and what individuals and organizations are capable of responding to. Those responsible for the development of the exercise should assess what exercise participants know about emergency preparedness and business resumption, and whether or not they are current in their knowledge of existing plans and procedures. This can be accomplished by interviewing key personnel, reviewing operational reports and previous exercise reports, and by studying the reports from recent incidents.

Exercise planners need to have a clear understanding of the risks that may affect the department and the resources and mechanisms currently available to respond. This can be obtained by reviewing the existing emergency and BRPs of the department.

5.4 IDENTIFY THE PORTION(S) OF THE BUSINESS RESUMPTION PLAN BEING EXERCISED

(Step 1)

A full-scale exercise will likely only be possible if all individual portions of the plan have been exercised. In the initial stage of plan development and exercising, it is important to identify which specific areas of the plan need to be verified. As the frequency and scale of exercises increases, it will be possible to include more elements of the plan, or additional areas within the department, in the exercise environment.

5.5 DETERMINE THE GENERAL OBJECTIVE FOR THE EXERCISE

(Step 2)

The preparation and planning involved in an exercise demands a considerable amount of effort and attention. Exercise consequences are significant, and they must be developed, conducted and evaluated to meet a predetermined objective. That objective needs to be established in the initial stages of the process, as it will become the focus of all exercise-related activities.

Exercise objectives can be general or specific. However, they must be descriptive enough to ensure that as the exercise is being developed, it satisfies the stated objectives. The following are examples of an objective:

- To measure the response capability of the Resumption Operations Centre (ROC); and
- To assess the response time to establish the ROC in order to meet the needs of the department.

5.6 ESTABLISHMENT OF THE EXERCISE PLANNING TEAM (EPT)
(Step 3)

5.6.1 EXERCISE DIRECTOR

The key to the organization of the EPT will be the selection of the Exercise Director. The Exercise Director can be viewed as the conductor of this exercise and has the following responsibilities:

- Working with the various members of the planning team, exercise observers and administrative support to deliver the exercise in a professional manner;
- Overseeing all aspects of planning, preparation, conduct and post-exercise reporting;
- Collection, interpretation and dissemination of information relating to the conduct of future exercises or training;
- Liaising with senior management;
- Conducting all cross-departmental liaisons; and
- Ensuring the exercises stay on schedule, follow the determined schedule, and are conducted to achieve the stated aims of the exercise.

A suggested checklist for Exercise Directors has been included as *Annex E*.

5.6.2 EXERCISE PLANNING TEAM (EPT)

The selection and support of an EPT will be critical to the successful conduct of any exercise. To be effective, resources and the EPT requirements should consist of representatives from across the department. Organizations' needs, perspectives and resources should be considered during the development and conduct of the exercise.

Members of the EPT should be recruited to represent the various agencies, divisions, sectors or departments that will participate in the exercise. A more complex exercise, designed to cover a wide variety of areas, will require a much larger planning team. The establishment of the EPT will help in obtaining commitment from the participating organizations.

It is essential that members of the EPT have a comprehensive understanding of their own organizations, the departmental BRP and any specific needs. They do not have to be familiar with either the design process or the planning steps involved. However, the Team Leader must be very familiar with this process and able to direct the activities of the planning team. The Team Leader should be seen as a coordinator for the exercise and not as a representative of the organization.

5.7 IDENTIFY SPECIFIC GOAL(S), CONTEXT, PARAMETERS AND PARTICIPANTS (Step 4)

With the EPT established, it will be necessary to refine the overall goal for the exercise. Once established, team members should, as a group, develop and define a series of objectives for the exercise. Objectives must be specific, result oriented, realistic and measurable. These specific objectives will ultimately steer the exercise, will eliminate any frustration for exercise participants, and will assist in the elimination of potential tasks that may be outside the scope of the exercise or the reach of the participants. Specific objectives will also lead to the detailed design of exercise inputs and activities that will subsequently generate responses from the exercise participants.

Other considerations include:

- Which parts of the organization need to participate?
- How extensive (duration, complexity, geographic boundaries, resource commitments) should the exercise be?
- What type of exercise should be used to achieve the objectives?
- What type of scenario would be most applicable to the achievement of the objectives (*Section IV*)?
- What are the best dates to conduct the exercise (should be established early in the process)?

5.8 DEVELOP THE EXERCISE (Step 5)

Exercise development is conducted by the EPT, and may include:

- The establishment of the ROC;
- An exercise on the activation criteria for the BRP;
- The process for requesting governmental assistance; and
- The development of links to suppliers.

This step should be considered under the following headings:

5.8.1 ESTABLISHMENT OF THE EXERCISE SCENARIO

With an understanding of the department's BRP, realistic exercise scenarios are developed by the EPT. The scenarios provide a brief description of the situation at the start of the exercise and the context in which the exercise will validate the preparedness of the department's to respond to any situation. It is important that the exercise scenarios be realistic, brief and detailed enough to focus the attention of the exercise participants on the actual exercise objectives.

The following are a sampling of scenarios that can be used in the development of an exercise:

- Loss of an entire facility;
- Utility service outage;
- Inaccessibility to production areas;
- Destruction or damage to production equipment, raw materials and work in progress; and
- Circumstances resulting from natural, man-made and technological disasters.

5.8.2 DEVELOPMENT OF A MASTER EVENTS LIST

This list identifies, in chronological order, all the major events that are scheduled to take place during the exercise. This list must be directly linked to the stated objectives of the exercise. An example of items that could be included in the Master Event List are:

- Activation of the ROC;
- Initiation of operations at an alternate site;
- Coordination with local authorities on-site;
- Coordination of Damage Assessment and Salvation Teams;
- Notification to the public of the impact on normal operations;
- Initiation of the phone tree; and
- Liaison with other governmental departments.

The Master Events List (*Annex F*) should include all significant events (i.e. training, administrative activities, etc.).

5.8.3 DEVELOPMENT OF A DETAILED EVENTS LIST

Once the Master Events List has been completed, the EPT defines each of the items included on it. This involves taking each of the entries on the Master Events List and identifying specific activities necessary to achieve each of the items.

The events on the Master Events List should be linked to an anticipated reaction received from the exercise participants. This will assist in ensuring that the exercise does not unfold in a meaningless manner and that participants greatly benefit from the exercise.

5.8.4 DRAFT APPROPRIATE MESSAGES AND INPUTS

Once the Detailed Events List has been completed, the EPT will be in a position to translate these events into meaningful exercise inputs. These inputs, or messages, are what the participants will receive during the exercise and will initiate action by the participants as the situation (scenario) is further developed.

5.9 ESTABLISH APPROPRIATE SAFETY MEASURES
(Step 6)

Not all exercises require an element of safety and security. Paper exercises contain few hazards. However, other forms of exercises contain an element of risk and it is incumbent on the EPT to ensure that the risks are considered by the exercise participants and the observers. When necessary, particularly during major exercises, the EPT should establish:

- A method to quickly revert from the simulated disaster in order to immediately address needs associated with the real emergency;
- Ways to avoid injuries during the deployment of any external resources; and
- A swift response to injuries if they occur during the conduct of the exercise.

Safety measures should be introduced to all participants as part of an initial exercise briefing.

5.10 IDENTIFY NEEDED SUPPORT REQUIREMENTS
(Step 7)

All exercises require administrative support and a number of other resources. The larger the exercise, the more demand there will be for resources and support. Consideration should be given to:

- Facilities for the planning team's meetings as well as for the conduct of the exercise;
- Specialized communication requirements;
- Exercise materials (this includes everything from paper to transportation);
- Requirements for exercise support staff; and
- Maps, site plans, emergency plans, copies of existing Standard Operating Procedures, copies of applicable legislation, and much more.

The support requirements for major exercises will be much more demanding and require a considerable amount of coordination.

5.11 DEVELOPMENT OF AN APPROPRIATE EVALUATION MECHANISM (Step 8)

It should be stressed that the purpose of conducting a business resumption exercise is to validate the existing plan and identify any potential shortcomings within the plan. As a result, a clear set of goals and objectives would be established. To assist in this validation, the EPT should establish an evaluation tool.

The most common and most effective evaluation tool is the use of observers. Their primary role is to monitor the exercise as it unfolds and then report their observations at its conclusion. Observers should be directed to monitor specific areas of interest, as determined by the EPT. To assist in this process, the EPT should provide observers with a series of general questions that require comment. Or, they may be directed to focus on specific aspects of the exercise, such as understanding the activation process or the reaction of the Resumption Operations Centre to respond to specific incidents.

Care must be taken to ensure that the exercise can satisfy the stated goals and objectives without being sidetracked by outside influences. It is rare that the observers are free to observe and report at will. This open approach will only work if the observers have extensive knowledge in the field of Business Resumption, are experienced observers, and have a detailed knowledge of the existing BRP.

5.12 ESTABLISH EXERCISE CONTROL MECHANISMS (Step 9)

Exercises, regardless of their size or complexity, require a mechanism that will provide appropriate guidance and allow them to achieve the stated goals and objectives.

Each exercise must have an Exercise Director who has the sole responsibility of ensuring that the exercise flows in the intended manner, regardless of the obstacles that may be confronted. To assist the Exercise Director, there should be a number of connected cells (exercise staff, simulation staff, observers) that will be responsible for the various aspects of the exercise conduct. The EPT must carefully outline the composition of these cells with their specific roles and responsibilities.

In small or medium level exercises, it is common that these groups are often the same people. Nonetheless, they require specific instructions, provided by the EPT, for each of their important roles.

5.13 PREPARATION OF THE EXERCISE INSTRUCTION (Step 10)

Before gaining final approval for the exercise, the final step is to prepare an Exercise Instruction. This is a detailed document that will provide all the necessary information concerning the exercise. Much of the preparation can and should be completed by the EPT as the exercise develops. A suggested outline for an Exercise Instruction is included as *Annex G.*

5.14 GAIN APPROVAL FOR THE EXERCISE (Step 11)

It is important to gain approval for the exercise in increments as the planning process unfolds. This will avoid any unnecessary complications during the planning process and will assist in obtaining support from senior management. It is also important to obtain approval for the entire concept once the EPT has completed the task of developing the exercise.

While senior management support is paramount, the EPT must ensure that each supporting organization is briefed during the planning and preparation phase.

5.15 ISSUE APPROPRIATE EXERCISE INSTRUCTIONS (Step 12)

Once approval has been obtained, the Exercise Instruction, along with appropriate supporting documentation, should be issued to all exercise participants. Depending on the scenario and the objectives of the exercise, not all attachments to the Instruction are necessarily issued to all participants. For example, it may not be appropriate to circulate the Master Events List if the intent is to exercise the reaction of the ROC.

5.16 CONCLUSION

With the written, approved and issued Exercise Instruction, it is essential that the Exercise Director continues to follow-up on the various administrative aspects of the exercise. Attention to detail, prior to the conduct of the exercise, will assist in the smooth and efficient conduct of the exercise. It will be useful to create an individual checklist to confirm the completion of all administrative details. Suggestions include the following:

- There is a requirement to exercise all plans to determine the need for any further revisions.
- No plan is ever perfect, and the exercise is designed to determine ways to improve the existing plan.

Normal services will not be interrupted during the conduct of this exercise.

6 CONDUCT OF THE EXERCISE

6.1 PURPOSE

To provide details regarding the conduct of a business resumption exercise.

6.2 INTRODUCTION

There is nothing mysterious about the conduct of a business resumption exercise. The majority of the work for the exercise will have been done during the planning and preparation stage. The success of the exercise is dependent on two critical factors:

- The effectiveness of the EPT (i.e. the realism of their objectives, the clarity of the scenario and the usefulness of the inputs that have been designed to initiate and control the flow of the exercise); and
- The ability of the Exercise Director and the Exercise Observers to manage the conduct of the exercise.

6.3 CONTROL

One of the key rules is that the Exercise Director is the exercise's sole director and has control over the conduct of the exercise. This authority includes the ability to terminate the exercise for such things as safety or real emergencies.

The Exercise Director should strike a balance between excessive and insufficient control. Excessive control occurs when participants are allowed little or no flexibility in the execution of their responses. They are led down a carefully selected pathway that will guarantee success and limit the opportunities to learn from their mistakes or to identify potential weaknesses in the existing plans. This may lead to considerable frustration.

Insufficient control occurs when participants are permitted too much flexibility resulting in the elimination of the Exercise Director and the Exercise Observers from the resumption scenarios. The consequences of lack of control include potential breaches in safety protocols, potential injuries, chaos and a failure to meet any of the stated objectives of the exercise.

All controllers, observers, and simulators (as applicable) should be under the command of the Exercise Director. Each of these individuals should be briefed on the following issues:

- The overall intent of the exercise;
- The overall scenario of the exercise;
- The intended flow of the exercise;
- The roles and responsibilities of the various organizations being exercised;
- The key principles and rules relating to the conduct of the exercise and the responsibility of early termination of the exercise; and
- The use of the control and safety communication system as required.

6.4 SAFETY

The size and composition of the exercise staff will be a determining factor on whether or not to establish a dedicated communication system for the exercise control staff. Should a dedicated system be established, it can also act as a safety network used in emergency situations, should they occur.

6.5 EXERCISE CONTROL

It is the responsibility of the Exercise Director and Exercise Controllers to monitor the flow of the exercise. This can be done by issuing a series of exercise inputs to the participants and then monitoring their progress and responses. For large-scale exercises, it is important that the Exercise Controllers advise the Exercise Director of any potential problems before they become major obstacles in the flow of the exercise.

If necessary, the Exercise Director can use a 'time-out' during the conduct of the exercise. This will stop all exercise play and allow specific problems to be resolved in a timely manner. Once control has been restored, the Exercise Director may resume the exercise.

Another control option is the insertion, where necessary, of specific exercise inputs that have been developed to initiate a desired action. Where exercise participants fail to take the appropriate action, on which another participant is dependent, another input may be introduced to indicate that the desired action has been taken and that the expected results have been achieved.

6.6 HELPFUL HINTS

The following are suggestions to assist in the conduct of an exercise, broken down into three (3) stages: *pre-exercise*, *exercise* and *breaks*.

6.6.1 PRE-EXERCISE STAGE

- Arrive early to ensure that the necessary administrative arrangements have been completed.
- Ensure that the exercise rooms are supplied with the necessary equipment in them and are open to the exercise participants.
- Know the sequence of the exercise completely and ensure that the sequence of activities flows smoothly.
- Ensure that the appropriate exercise instructions have been distributed.
- Conduct a communication check to ensure that all systems are operating.

6.6.2 EXERCISE STAGE

- Begin the exercise with an exercise briefing to all participants, in which you summarize the rules of play, the objectives of the exercise and the method of play.
- Ensure that all participants realize that there will be a post-exercise debriefing conducted immediately following the exercise.
- Let the exercise play proceed at a realistic pace. Avoid Exercise Director or Exercise Observer interference unless the success of the exercise is in jeopardy.
- Be prepared to prompt exercise participants as required (i.e. to take action or to keep things moving).
- As play proceeds, the Exercise Director and Exercise Observers should be taking detailed notes of all actions conducted by the participants.
- Exercise participants are to be reminded of the importance of keeping a detailed log of their activities for use in the exercise debriefing. An example of a Log Sheet is included as *Annex H*.
- Exercise Participants should be encouraged to note deficiencies in the plan so that they can be discussed during the post-exercise debriefing.
- It is important for the Exercise Director to ensure that participants stay alert and are in a position to respond quickly in order to keep the exercise moving or to make sure that it is not straying from the stated objectives.

- Do not hesitate to call a 'time-out' if the exercise appears to be stalling or moving away from objectives.

6.6.3 BREAKS

- Should be scheduled if the exercise is going to proceed for an extended period of time;
- Should not interfere with the schedule of exercise inputs;
- Should not be longer than 15 minutes; and
- Provides an opportunity for the Exercise Director and Exercise Observers to get together and discuss critical issues relating to the flow and conduct of the exercise.

6.7 CONCLUSION

Ultimately, the effective conduct of any exercise requires common sense, balance, and the ability to adapt rapidly to changing circumstances.

7 POST-EXERCISE ACTIVITIES

7.1 PURPOSE

To provide guidance on post-exercise activities.

Emphasis is placed on the need to set an appropriate tone, encourage maximum participation, establish a system to track comments, make recommendations for decisions at the appropriate level, and produce and archive detailed post-exercise reports (PER).

7.2 INTRODUCTION

The success of an exercise may be measured by the extent of the post-exercise activities. Organizers must schedule follow up activities that allow all exercise planners, organizers, observers and participants to comment on exercise results and required improvements. Comments should be gathered in a formal manner resulting in the production of a post-exercise report that documents the lessons learned and recommended changes for improvement.

A PER is the key mechanism used to summarize a discussion on an exercise, focusing on performance objectives. The PER clearly and concisely reports the results of the exercise. It should confirm the activities undertaken and verify whether the plan was effective relative to the exercise expectations and evaluation criteria. It should enable staff and planners to recognize strengths and weaknesses in the plan, understand what happened in the exercise and why it happened, determine what should have happened, and decide how to improve. A PER should be kept on file until the end of the training and exercise cycle, i.e. one to two years, depending on the department's exercise and validation schedule.

7.3 POST-EXERCISE CONSIDERATIONS

The post-exercise activity process should review at least the following:

7.3.1 PLANNING

- Do any of the objectives of the exercise require special focus?
- Are there specific participants or areas of responsibility that should be monitored closer than others?
- Are observers necessary, and if so, what qualifications should they have and where are they located?
- When and where should the post-exercise discussion take place and who will record the issues?
- Are additional resources required?

- Who will be the final authority for authorizing change?

7.3.2 PREPARATION

- Are all participants familiar with the plan or the component of the plan being exercised?
- What are the objectives of the exercise?
- Who are the key participants?
- What are the key activities of the exercise?
- Who will act as the observer?
- Have you conducted special orientation for the observers?
- How will observations be documented and collected?

7.4 POST-EXERCISE DISCUSSION AND REPORT

Due to the sensitive nature of this activity, the following tips are strongly recommended to ensure the best results:

- Ensure sufficient time for a complete discussion.
- Have a strong moderator to control the subject and direction of the discussion.
- Have participants arrive with the correct mentality and sensitivity to position, or ownership will be counterproductive with respect to improving the plan.
- Emphasize to all participants that the discussion is not a critique and that everyone can, and should, participate.
- Focus the discussion on the objectives of the exercise and review these objectives before accepting comments.
- Confirm that the scenario was appropriate for the exercise objectives.
- Emphasize that the discussion should highlight positive aspects as well as areas of improvement.
- Encourage participants to provide detail in their observations, and always include recommendations for improvement.
- As a general rule, participants should spend 25% of their time discussing an issue, 25% of their time discussing why it should be changed, and 50% on how it should be changed.

- Attempt to identify who should action the change or proposed solution.
- Participants should leave a post-exercise discussion with a high sense of accomplishment.

7.5 RESPONSIBILITY

Post-exercise activities should be conducted during or immediately after each exercise. The individual designated to lead the exercise should also lead, but not necessarily moderate, the post-exercise activities. The scope and detail of the activities, specifically the report, will depend entirely on the scope and extent of the exercise.

7.6 KEY ELEMENTS

Post-exercise activities, particularly the PER, will only be effective through the inclusion of the following elements:

- *Active participation* – The participation of all personnel should be relevant to the plan or component of the plan being exercised;
- *Objectives review* – The idea is to determine that the objectives were addressed and that lessons were obtained from the exercise, not to provide a "pass or fail" for the exercise;
- *Discussion Focus* – Points should be raised on a discussion basis. This will not only identify faults, but will also determine what was wrong or right, why, and provide recommendations on how to improve;
- *Learning Reinforcement* – Once a PER has been completed, decisions must be disseminated or discussed with the same audience to ensure that all participants are aware of the changes;
- *Timeliness* – Reports must be completed shortly after an exercise in order to capture the contentious issues and ideas for improvement from the participants.

7.7 SEQUENCE

The following activities should be conducted immediately after all exercises:

- Business unit level discussion (immediate session);
- Collective exercise discussion;
- After-action reporting;
- Executive Summary for leaders;
- Feedback for exercise participants;
- Plan changes with an implementation schedule; and
- Awareness.

7.8 BUSINESS UNIT DISCUSSION

This discussion is conducted immediately after the exercise has ended and is designed to allow immediate feedback on the successes and shortfalls observed within the business unit. The exercise objectives should be reviewed against the activities conducted to determine whether or not objectives were met. Each business unit should identify points of concern and appoint a spokesperson for the subsequent collective discussion. Discussion points should be organized to address actions that will be taken within the business unit and the actions recommended for improvement to the overall plan.

7.9 COLLECTIVE EXERCISE DISCUSSION

(all exercise participants)

The collective exercise discussion should include as many of the exercise participants as possible. The discussion should focus on recommendations that will help the organization achieve the best results and improve the plan. If the key elements above are adhered to, and a moderator is appointed to control the discussion, constructive recommendations should result. Comments on strengths or areas of improvement, followed by recommendations on how to proceed, will become the main aspects of the PER.

If departmental leaders are available, this forum is the perfect opportunity to acknowledge the key post-exercise observations while commenting on the achievement of exercise objectives, reinforcing the value of the exercise and the benefits to the department.

7.10 POST-EXERCISE REPORTING

The PER is a written summary of the collective discussion. The participants will submit their comments through their Branch or Division as the BRP Manager deems appropriate. This will allow the Manager a measure to ensure that all discussion points are recorded in detail with room for his/her comments and the response from departmental leaders. An example of a standard PER format with additional instructions and a blank copy are included in *Annex I*.

7.11 EXECUTIVE SUMMARY TO THE DEPARTMENTAL MANAGEMENT COMMITTEE

The BRP Manager should produce an executive summary and be prepared to brief senior management. Executive summaries or briefings should include concise descriptions of the following:

- The exercise objectives;
- The exercise scenario;
- Where the exercise was conducted, when, and who participated;
- Recommendations made and accepted at the BRP Team level;
- Recommendations made requiring Executive Committee decision; and
- Recommendations on how to proceed.

7.12 FEEDBACK

Few things are more disconcerting to employees than a lack of feedback. As such, BRP Managers should conduct a follow-up session designed to inform participants and the BRP team of accepted recommendations and the timeline for changes. This activity may result in the assignment of tasks to effect changes. At the very least, a feedback summary should be circulated to the leadership teams of all participating personnel.

7.13 FOLLOW-UP

Once changes have been authorized, the BRP Manager must identify the timeframe within which these changes must be implemented and a date when the BRP team will reconvene to confirm implementation. At this point, consideration may be given to the next exercise date and whether the latest amendments were significant enough to repeat similar exercises.

7.14 SUMMARY

Post-exercise activities are critical to a successful exercise and validation program. They are designed to take advantage of the perspective of all participants and observers of the exercise in order to improve the plan. The PER and follow-up process must be considered by the exercise planner from the beginning. Failure to capture observations and recommendations for change will often render an exercise ineffective.

8 LESSONS LEARNED PROCESS

8.1 PURPOSE

To provide information about the *Business Resumption Planning Lessons Learned Warehouse*.

8.2 IMPORTANCE

As with any activity, organizations of any size can learn from the efforts and lessons learned by others. Reviewing the lessons learned by organizations that have completed the same activity could save you considerable time and money. As such, a centralized electronic lessons learned information warehouse has been created to assist all Alberta Government agencies with business resumption planning.

8.3 METHODOLOGY

The Business Resumption Planning office of Disaster Services has developed a Business Resumption Planning Lessons Learned Warehouse. Information derived from actual emergencies, disasters, exercises, and BRP programs has been, and will continue to be, gathered through research, general discussions, summary reports, after-action reports, post-exercise reports, surveys, and questionnaires. This information was reviewed in detail with the intent of extracting the lessons learned and categorized in accordance with the Government of Alberta Business Resumption Planning office as detailed below:

- Development of a business resumption plan;
- Business resumption training and awareness;
- Business resumption plan exercise and validation process;
- Resumption plan maintenance;
- Business resumption activation; and
- Business resumption and continuity – lessons learned through emergencies.

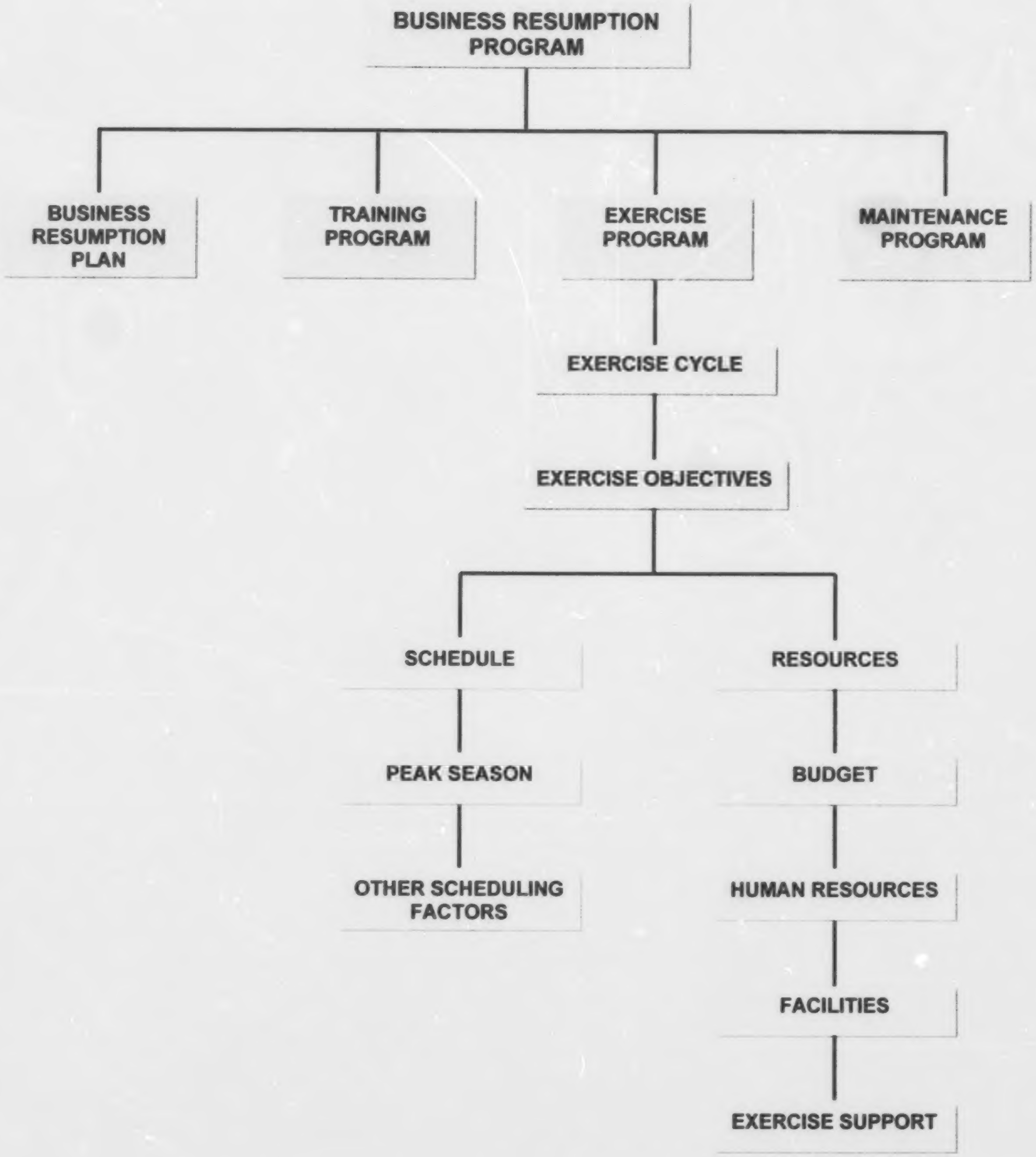
Business Resumption Planning staff are able to query for specific information requested by a department. BRP staff will be able to provide a summary of lessons learned on any given component, planning step, exercise, maintenance process or actual emergency activation, as long as lead departments provide feedback as they proceed in their planning. For those who prefer to conduct their own research, the information is available on our website at www.gov.ab.ca/ma/ds/bus_resumption.cfm.

8.4 END STATE

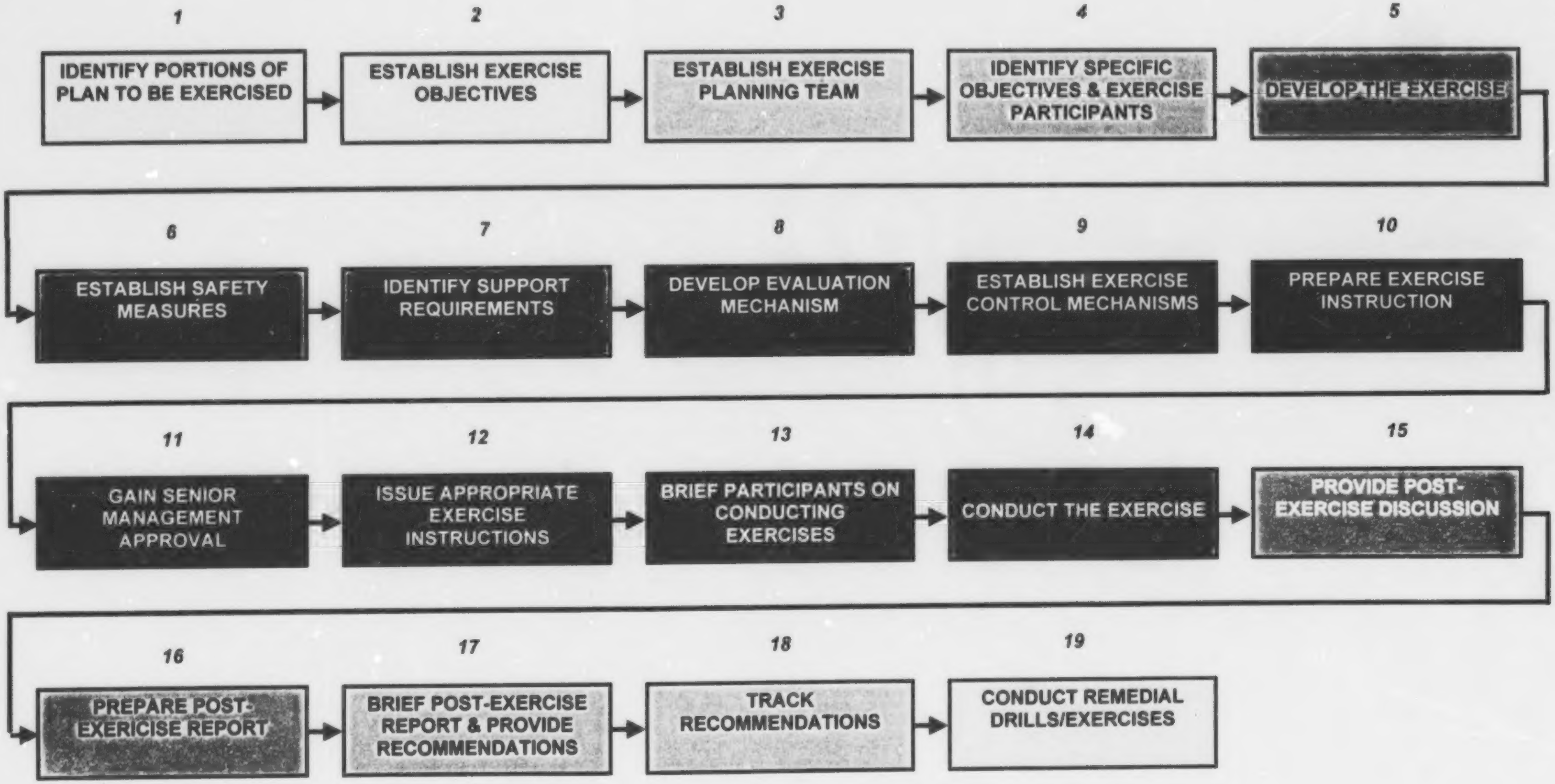
Although the *Lessons Learned Warehouse* is currently based on business resumption only, the final product will involve lessons learned from all aspects of crisis management. A *Disaster Services Lessons Learned Warehouse* will exist in a database and on a regularly updated website. For more information on the *Lessons Learned Warehouse*, contact any member of the Disaster Services Business Resumption Planning staff.

PART 4 ANNEXES

THE EXERCISE PROGRAM


BUSINESS RESUMPTION PROGRAM
BUSINESS RESUMPTION PLAN
TRAINING PROGRAM
EXERCISE PROGRAM
MAINTENANCE PROGRAM
EXERCISE CYCLE
EXERCISE OBJECTIVES
SCHEDULE
PEAK SEASON
OTHER SCHEDULING FACTORS
RESOURCES
BUDGET
HUMAN RESOURCES
FACILITIES
EXERCISE SUPPORT

EXERCISE PLANNING STEPS


1
IDENTIFY PORTIONS OF PLAN TO BE EXERCISED
2
ESTABLISH EXERCISE OBJECTIVES
3
ESTABLISH EXERCISE PLANNING TEAM
4
IDENTIFY SPECIFIC OBJECTIVES & EXERCISE PARTICIPANTS
5
DEVELOP THE EXERCISE
6
ESTABLISH SAFETY MEASURES
7
IDENTIFY SUPPORT REQUIREMENTS
8
DEVELOP EVALUATION MECHANISM
9
ESTABLISH EXERCISE CONTROL MECHANISMS
10
PREPARE EXERCISE INSTRUCTION
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GAIN SENIOR MANAGEMENT APPROVAL
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EXERCISE CATEGORIES

Exercise Type	Method Used to Conduct	Simulation Activities	Advantages	Disadvantages
Desktop / (Tabletop / Structured Walkthrough)	Briefing via lecture, slides, discussion, panel, etc Facilitator can lead group through a problem discussion. Scenario based, messages, controllers, evaluators	Can range from none to a narrative description of an event, a new plan or procedure, etc which will lead to group discussions Coordination, control, policy and resource matters	Low cost Modest time commitment. Minimal preparation Generally low stress. Basic building block of program to meet training objectives Allows operational problems to be examined without time constraints and other stressors. Primarily a teaching tool. Generally focuses on one or two aspects of the BRP, allowing participants to walk through the management issues of the situation.	Does not measure capability. Usually only one facet of the system is examined at any given time. Dependant on written scenario. Does not exercise the system and does not heavily stress the decision making processes. Allows limited measurement of ability.
Simulation	Scenario based, messages, controllers, evaluators	Alerting and callouts, message handling and processing capabilities, information management	Provides training opportunity. Good for gathering information on the communication systems (including backups) and process functionality (usually without utilizing or activating external resources). Increases realism and adds some stress to participants. Low cost. Modest to moderate time commitment. Safe.	Limited scope. Key decision makers may not be involved. May interfere with normal communications during exercise.

Exercise Type	Method Used to Conduct	Simulation Activities	Advantages	Disadvantages
Full-Scale	Can be a simulation or a drill. Exercise creates complex, stressful environment. Scenario based, messages, controllers, evaluators. May involve deployment of resources and involve simulated casualties, etc	Controllers represent field personnel to force consideration and resolution of policy, resource and other command/control issues. Many actions may be driven by requirements to move resources and or activate alternate facilities and systems	Can involve the entire management team and many of the components, systems and processes of the department. Allows site management to be exercised under realistic conditions. Can be used for promotion, since media is often attracted. Significant time and resource commitment.	Requires extensive preparation. Scenario development is critical to exercise. Major time and resource requirements. Safety and logistics issues if resource deployment and movement is involved.

EXERCISE EXAMPLE
(for Business Resumption)

- **Exercise Name**

  (e.g. EXERCISE CHEKIT)

- **Description**

  (e.g. Communication verification and alternate process validation.)

- **Exercise Type**

  (e.g. Simulation conducted in a "time compression" format.)

- **Advantages**

  (e.g. Provides opportunity to confirm the communication systems, including their backups, and process functionality. Introduces realism and adds some stress to participants. Low cost with modest to moderate time commitment. Safe.)

- **Disadvantages**

  (e.g. Limited scope. May interfere with normal communications during exercise.)

- **Scope**
  - *Conditions* (Identify the conditions relating to the exercise)
  - *Scenario* (e.g. Disaster scenario established but not shared in advance. Communications out due to sunspot activity and virus in communications software.)
  - *Objectives* (e.g. Identify BRP deficiencies and areas of improvement. Identify errors and omissions.)
  - *Duration* (e.g. Exercise length 8 hours, simulating 48 to 72 hours of real time.)

- **Conduct**

  (e.g. Teams perform their resumption tasks and interface with each other while simulating the business interruption to determine the team's ability to recover based on their BRP.)

- Resources
  - Participation (e.g. Single/multiple business units, team members or alternates from up to six teams, organized in logical groups, BCP evaluator or moderator, Exercise Coordinator.)
  - Equipment (as required)
  - Facilities (as required)

- Corrective action

  (documented and implemented)

- Exercise Results

  (shared with senior management)

EXERCISE DIRECTOR'S CHECKLIST

PRELIMINARY

- Exercise Inputs are up-to-date;
- Exercise material has been sent to all participants and staff;
- Exercise dates and timings are supported by senior management, exercise participants and staff;
- Exercise location and facilities have been confirmed;
- Access to location and facilities has been confirmed;
- Any necessary travel arrangements have been confirmed;
- Necessary administrative resources are in place;
- Establish an evaluation mechanism.

EXERCISE DAY

- Facilities are open;
- Necessary signs are posted to guide exercise participants and staff;
- Appropriate areas have been assigned to each organization;
- Appropriate resource material is available;
- Exercise briefing is prepared;
- Safety instructions are posted in appropriate areas;
- Copies of Exercise Inputs are available for each observer;
- Necessary communication systems are in place and operating;
- Timings and location for exercise debriefing are known by all;
- Monitor the progress of the exercise;
- Make amendments to schedule or pace of the exercise as required (any changes must be made known to all participants and observers);
- Control the debriefing process;
- Be prepared to highlight key issues that developed during the exercise.

POST-EXERCISE ACTIVITIES

- Conduct the post exercise debriefing with exercise participants;
- Conduct a post exercise debriefing with all exercise observers;
- Provide a detailed mechanism to capture all exercise-related points;
- Ensure that the exercise area is clean;
- Provide a detailed post exercise report;
- Provide a summary of lessons learned from the conduct of the exercise;
- Provide a list of recommendations regarding changes to the BRP or amendments to the exercise process;
- Ensure that a completed copy of the entire exercise package is retained.

MASTER EVENTS LIST
(Example)

Serial	Time	Date	Input #	Event/Activity	Remarks
1				Exercise plan briefed to senior management.	
2				Exercise Instruction completed and circulated to all participants and observers.	
3	1230			Exercise participants and observers gather in main exercise area.	Executive Briefing provided by Executive Director
4				Scenario of exercise reviewed and questions answered.	
5				Move of exercise participants to respective exercise locations.	
6	1300			Input #1 issued and exercise commences.	
7					
8					
9					
10				Final input issued and appropriate actions taken.	
11				Exercise ends and participants gather in main briefing area for exercise debrief.	
12				Post-Exercise Report prepared and presented to senior management.	
13				Lessons learned and recommendations implemented.	

GENERAL EXERCISE INSTRUCTION OUTLINE

(Example)

INTRODUCTION

This should include a brief outline of the exercise, including such things as the length of the exercise, what it is designed to do, and at what level it will be focused.

AIM

A clear and concise aim for the exercise should be stated here.

SCOPE

The scope of the exercise will include:

- Identification and explanation of exercise objectives;
- What aspects of the BRP will be exercised;
- Comment on any review of appropriate arrangements established by supporting agencies.

CONDUCT

A clear statement on what method of exercise will be used (see *Section 4*) and how the exercise will be played.

If appropriate, a reference to the exercise schedule can be included here. It is suggested that an exercise schedule, outlining the key timings, locations and activities, be included as an Appendix to the Exercise Instruction.

EXERCISE SCENARIO

A detailed description of the exercise scenario should be provided to all exercise participants. This must be reviewed, and any amendments or additions to this scenario should be issued, prior to the start of the exercise to ensure its understanding.

EXERCISE TIMINGS

A detailed list of all timings associated with the setup, conduct and debriefing of the exercise should be included. Timings related to the actual conduct of the exercise should be general and include an opening briefing, exercise start time and an approximate timing for the end of the exercise and the start of the debriefing. Detailed timings related to the conduct of each serial and/or input are not required.

DETAILED MASTER EVENTS LIST

A detailed Master Events List should be developed and included in the package for all exercise observers and exercise controllers. Depending on the scope of the exercise and established training objectives, this list should not be provided to the exercise participants. A sample outline of a Master Events List is attached as *Annex F*.

In addition to the Master Events List, copies of all the exercise inputs need to be provided to each of the exercise observers and exercise controllers. These should be provided to these groups prior to the start of the exercise and are to be retained in the overall exercise package. A copy of a sample format for an Exercise Input has been included as *Annex G1*.

EXERCISE APPOINTMENTS

All key appointments for the exercise should be listed. Detailed terms of reference for each of these appointments can be included here, or included as specific Appendices. Include such appointments as Exercise Director, Exercise Observers, and Exercise Administrator. Additional positions may be included at the discretion of the Exercise Director; however, specific details as to their responsibilities should be included (see *Guidelines for Observers* in *Annex G2*).

EXERCISE PARTICIPANTS

A list of all exercise participants should be listed here. These should include all organizations, as well as their representative, that are participating in the exercise.

A list of all external participants that are involved in the exercise in a support role should also be included. This can include such organizations as other governmental departments, local emergency agencies (fire, police, ambulance), and various municipalities that may be involved (dependent on the scope and objectives of the exercise) (see *Annex G3*)

ADMINISTRATION

Items that could be included in this section are:

- Exercise location;
- Exercise facilities (to include specific allocation of areas to each group);
- Administrative support requirements (availability of computers, photocopiers, stationary requirements, etc.);
- Required documentation (copies of the respective BRPs, appropriate copies of the various emergency response regulations and directives, etc.);
- Refreshments (coffee, juice, water, snacks);
- Meals (any arrangements that have been made in regards to the provision of meals, etc). If no arrangements have been made, a listing of available facilities in, or near, the exercise area should be included;
- Any transportation arrangements that have been established to support the conduct of the exercise (i.e. bus schedules, parking facilities, etc.);
- Any accommodation arrangements made to support the conduct of the exercise.

EXERCISE CONTROL

Items that should be included in this section include:

- Appointments of Exercise Director;
- Location of the Exercise Director;
- Appointments of Exercise Observers (assigned organizations);
- Method of communication (radio, cell phones). Detailed communication diagrams should be included as Appendices (see *Annex G4*);
- Any safety or security issues that may be required, and measures to distinguish exercise messages from real messages;
- Public information (realization that the conduct of these exercises may be sensitive; therefore, there is a need for some standardization in regards to the handling of public inquiries).

Signature of Exercise Director

Distribution List for the Exercise Instruction

EXERCISE INPUT

(Example)

Input #: **To:**

From: **Via:**

Content: (describe what the message is)

Report of Action Taken by the Team

Time input received: **Plan section & page consulted by Team:**

Actions taken by Team:

1.
2.
3.
4.

Time action was completed:

List any ways in which the plan helped or hindered in addressing the issue.

GUIDELINES FOR OBSERVERS

1. Sequence of events:
    a. Pre-exercise briefing;
    b. Conduct of the exercise;
    c. Conclusion of the exercise;
    d. Exercise debriefing;
    e. Preparation of the Post-Exercise Report.

2. Familiarize yourself with the exercise scope and objectives, which are:
    a.
    b.
    c.

3. Familiarize yourself with the Departmental Business Resumption Plan.

4. Observe and record (with appropriate timings) the response to the scenario and situation reports. Specifically, report:
    a. Actions undertaken during the exercise, which were not, but should be incorporated into the plan;
    b. Omissions from the plan (i.e. contact information for key personnel);
    c. Inaccuracies noted in the plan;
    d. Areas where the plan is too detailed or restrictive;
    e. Ambiguities or inconsistencies in the plan;
    f. Actions which are non compliant with the plan and the reasons for them;
    g. Areas where the plan could be improved;
    h. The effectiveness of communication and reporting within and between the respective resumption teams and other agencies;
    i. Specific assumptions that have been acted upon without having been challenged;
    j. Any other aspects or observations, either on the effectiveness of the plan or on the effectiveness of the exercise.

5. Observers must be flexible and prepared to move away from the scripted activities if it will provide added value to the exercise. Any deviations must be carefully noted.

6. Provide information to his or her respective team in accordance with the Briefing and Situation Reports. If the team is seeking information beyond these reports, use your initiative and knowledge to provide additional information, which is **plausible, realistic and consistent with the scenario**. If activity is slow, you have the discretion of providing realistic developments, situations, messages or requirements to your team in order to keep the exercise moving. These must be carefully noted and details must be provided in the Post-Exercise Report.

7. Avoid interfering or disrupting the flow of activity, except to get things moving if they have stalled. In the event of any difficulties, contact the Exercise Director.

8. Prepare to report on your Team's activities and your observations at the debriefing session that will take place immediately after the exercise.

GUIDELINES FOR PARTICIPANTS

1. Sequence of events:

   a. Pre-exercise briefing;
   b. Conduct of the exercise;
   c. Conclusion of the exercise;
   d. Exercise debriefing;
   e. Preparation of the Post-Exercise Report.

2. The participant's role is to function either as a team member of the departmental Business Resumption Team or as a member of the branch/sector/division Business Resumption Team. This position is requested to undertake all tasks delegated by its Team Leader and to provide input into team decisions as required.

3. Mistakes are welcomed. Any mistake made can provide an indicator for an area that may need clarification or amendment.

4. It is essential that you retain all documentation relating to the exercise. This will provide valuable insight into the processes involved in business resumption and the background needed to properly complete a Post-Exercise Report.

5. Simulation will be used for real-life observations, disruptions, challenges, communications, people, etc.

6. In order to maintain some focus for the exercise, many of the apparent challenges, logistical considerations and time delays have been simplified, eliminated or compressed.

7. Observer Assignments:

	Team	Observer
a.		
b.		
c.		
d.		

8. The Observer has the following responsibilities:

    a. Issue inputs and general guidance to exercise participants;
    b. State limitations, when appropriate;
    c. Remind exercise participants of the rules of the game;
    d. Remind participants of the need to keep thorough records of all their actions;
    e. Keep records of the actions of the team.

9. There are pre-printed inputs that will be, from time to time, handed to the team from the team's observer. It is expected that participants react to these inputs by:

    a. Seeking additional information or clarification;
    b. Consulting the Business Resumption Plan for appropriate guidance;
    c. Making decisions regarding the information contained in the input;
    d. Sending appropriate messages;
    e. Sending simulated messages (to those agencies that are not participating in the exercise);
    f. Recording plans and intentions of the team.

10. It is expected that the team will also generate inputs for the exercise by communicating with the other teams (telephone, memo, face-to-face communication) that are participating in the exercise. Keep a detailed record of all inputs and their results.

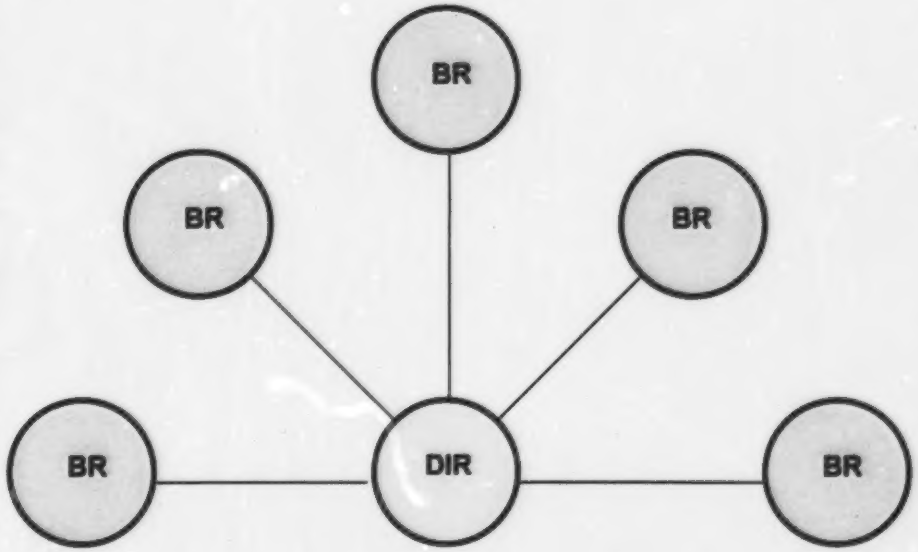
11. As with all exercises, there are limitations and rules that must be followed if the exercise is to be successful. These are:

    a. Initially, telephone communication may not be available, but will eventually be established;
    b. Avoid miracle solutions. It is important to play out the situations realistically (time lapses, difficulty in communicating, turn-around time, etc);
    c. Think ahead. If there is no activity, try to anticipate what might happen next and plan for that occurrence.

12. At the conclusion of the exercise, a short debriefing session will be held. During this session, all teams will have the opportunity to make a short presentation on their team's assessment of the effectiveness of the Business Resumption Plan as a guide for a departmental business disruption. At the conclusion, people will be requested to complete and submit an individual feedback form. Remember that this is an exercise of the plan, not the people.

COMMUNICATION DIAGRAM

(Example)



Notes:

1. A communication diagram should be available for each level of the exercise.
2. A separate diagram should be available for the observers.
3. Key phone numbers for each organization should be included.
4. A detailed contact list should be available for all participants.

DIR = Director
BR = Branch

LOG SHEET

DATE OF EXERCISE: ________________ EXERCISE NAME: ________________

Serial	Date	Time	Input #	Incident	Action	Remarks

POST-EXERCISE REPORTING

EXERCISE NAME: ____________________ REPORTING AGENCY: ____________________ DATE OF EXERCISE: __________

Serial	Exercise Objective	Comment	Recommendation	BRP Team Manager Comment	Executive Decision

PART 5

PERFORMANCE MEASUREMENT

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1 INTRODUCTION

1.1 PURPOSE

To provide BRP Planning and Management Teams and their Departments with a means of assessing the effectiveness of their business resumption plans and overall Departmental business resumption program.

Performance Measurement is to address the four major components of a business resumption program:

Introduction	
Table 1	Process Evaluation
Table 2	Plan Evaluation
Table 3	Training and Maintenance Program Evaluation
Table 4	Exercise and Validation Program Evaluation

This performance measurement system, or evaluation system, is intended to guide your business resumption program and ensure key components of your program are effectively implemented.

1.2 CONCEPT

Each of the tables, in a simple checklist format, has been developed to account for the essential elements of a business resumption program. The checklists have been designed in a generic format, lacking a quantitative scoring system. If suited to your needs, Departments are encouraged to implement a quantitative evaluation scale to meet individual needs.

This performance measurement system has been designed based on the following parameters:

- Departments have adopted the business resumption process provided by the Business Resumption Guide.
- BRPs are being designed, written, maintained, exercised and validated by a dedicated BRP organization within the Department.
- The implementation of a performance measurement process has been approved by a Department's Executive Committee.

Evaluations may be self-directed, internal, or externally facilitated, depending on the needs of each Department.

1.3 Auditing

This system provides a means for your organization to audit your business resumption planning performance and development. The simplicity of the checklists allows for maximum flexibility, permitting the audit of all or individual elements of your BRP.

A similar performance measurement system, containing additional detail, will be used by Business Resumption Planning of Alberta Disaster Services to evaluate the effectiveness of each Department's BRP. Included in our audits will be the effectiveness of each Department's evaluation process.

1.4 Evaluation Practices

The following practices are recommended to assist in ensuring an effective evaluation process:

- Initial evaluations should not be a surprise to those being evaluated.
- Evaluated organizations should be told what is being assessed.
- Evaluation formats should be consistent amongst all organizations.
- A central authority within a Department should control the evaluation process, but not necessarily be the facilitator of evaluations.
- Evaluation results must be conveyed to executive management of a Department in the most practical and time sensitive manner available.
- Protocols should be established defining audit times and who within an evaluated organization are advised of audit results.
- Once evaluations are completed, they should not be altered.
- Evaluations may or may not be incorporated into exercises.

Ultimately, all evaluated organizations must be confident in knowing that business resumption plans and processes are being evaluated, not the individuals.

1.5 Evaluation Frequency

The frequency at which components of a business resumption program are evaluated is at the discretion of the Department. However, as a general guide, Departments should evaluate the components of their business resumption program as soon as possible after their completion. Once a plan has been completed, an evaluation process should be established that is similar to your training, maintenance and exercise schedules. **(The complete plan should be evaluated annually.)**

PROCESS EVALUATION SHEET

(Table 1)

Components	Comments
Has the DM provided written correspondence confirming the need for this program, and Departmental support for the completion of the Business Resumption Process?	
Have a BRP Team Manager and Coordinator been appointed to establish a plan development timeline and schedule?	
Has a BRP Team been selected, and do they have regular meetings to discuss the development of the plan?	
Has the BRP Team Manager presented the plan development schedule to senior management and received their support?	
Has the BRP Team Manager developed and assigned team objectives, goals and tasks for the various members of the BRP Team?	
Have meeting locations and resource requirements been established before proceeding with the plan development?	
Has a BRP budget been forecasted and approved by senior management?	
Have all the BRP Team members participated in the general training presentation?	
Have key decision points been identified and presented to senior management for approval before proceeding with the next step in the process?	
Has senior management been provided with regular updates and information briefings with regards to the status of plan development?	
Overall Comments:	

PLAN EVALUATION

(Table 2)

Components	Comments
Executive Foreword	
Overall Comments:	
SECTION 1 – **VITAL INFORMATION**	
Record of Amendments?	
Table of Contents?	
Contact Information – BRP Manager, Coordinator and key activation contacts?	
Plan activation sequence - flowchart?	
Activation Criteria?	
List of Succession?	
Distribution List:	
Overall Comments:	
SECTION 2 – BRP TEAM INTRODUCTION	
Departmental Policy Statement?	
Assumptions?	
Glossary of Terms?	

Components	Comments
Acronyms?	
Business Resumption Teams?	
Were appropriate safety measures included?	
Contact Lists – sub-teams, Department contacts, Other Government Departments (OGD), Non-Government Organizations (NGO)?	
Overall Comments:	
SECTION 3 – RISK ASSESSMENT	
Are the worksheets attached?	
Is there an overall summary of the risk assessment attached?	
Overall Comments:	
SECTION 4 – BUSINESS IMPACT ANALYSIS	
Is there a summary of essential services that are categorized and prioritized?	
Do the essential Services reflect the targets of the Departments Business Plan?	
Are the service worksheets included in the BRP?	
Is there a resource constraint list attached?	
Overall Comments:	
SECTION 5 – RESUMPTION ACTIVITIES/STRATEGIES	
Is there a activity/strategy summary matrix?	
Has direction regarding specific activities associated with the summary matrix been provided?	

Components	Comments
Is there an alternate site(s) strategy?	
Is there a Resumption Operations Centre (ROC) Plan?	
Is there an information back-up plan?	
Is there an information retrieval plan?	
Is there an IT equipment replacement plan?	
Is there a communications/public relations plan?	
Is there a telecommunications plan?	
Is there a financial support plan?	
Is there a damage assessment and salvage plan?	
Is there an employee management (HR) plan?	
Is there a security plan?	
Is there a transportation plan?	
Is there an internal stakeholder coordination plan?	
Is there an external stakeholder coordination plan?	
Is there a shared services coordination plan?	

Components	Comments
Is there a service provider coordination plan?	
Is there an administrative services support plan?	
Is there a logistics support plan?	
Is there a list of key personnel within the Department and within the BRP Team?	
Has a listing of alternates been provided?	
Overall Comments:	
Section 6 – Subsidiary Plans	
Are Executive Summaries of all division/branch/section (or equivalencies) plans included in the Departmental BRP?	
Are all subsidiary plans included, e.g. branches, sections, etc.	
Have service providers' resumption/continuity plans been reviewed and enclosed?	
Are site-specific emergency plans enclosed?	
Overall Comments:	
Section 7 – Training and Maintenance (to be reviewed separately)	
Section 8 – Exercises and Validation (to be reviewed separately)	

TRAINING AND MAINTENANCE PROGRAM EVALUATION

(Table 3)

Components	Comments
Executive Foreword	
Overall Comments:	
TRAINING POLICY	
Does the BRP include a training policy statement?	
Does the training comply with the policy statement?	
Is there a consistent, broadly applied training program?	
Has the training program received the support of Senior Management?	
Does the training program identify the requirement to exercise and validate the BRP?	
Does the training program allow internal & external training?	
General Comments:	
SPECIFIC GOALS / PARTICIPANTS / CONTEXT / OBJECTIVES	
Have specific goals for the training been identified?	
Have training objectives been identified?	
Are the objectives clear and concise?	

Components	Comments
Are the objectives realistic and supportive of the goals?	
Does training support the Departmental Business Plan & Vision?	
Do the training objectives correspond to and support the Departmental needs?	
Is training being provided to the correct target audience?	
Was an evaluation tool provided for the participants?	
Has a feedback and update process been established?	
General Comments:	
GENERAL TRAINING INSTRUCTIONS	
Was the instruction issued in a timely manner?	
Are the instructions up-to-date?	
Does the instruction provide a clear aim?	
Is the scope of the training clear?	
Were lists of training resources included?	
Were lists of training participants included?	
Have specific training methods been identified?	
General Comments:	

Components	Comments
TRAINING AWARENESS	
Is the target audience aware that training is available?	
Have training briefings been conducted?	
Was a course outline provided for the training?	
Were roles and expectations explained to participants?	
General Comments:	
PARTICIPATION IN TRAINING ACTIVITIES	
Were the participants properly prepared for the training?	
Was a schedule established for the consolidation of debriefing points?	
Was the pace of the training activity suitable?	
Was there an effective method for noting observations and deficiencies in the training?	
Did the participants understand the training activities and processes?	
Were appropriate opportunities available for the participants to provide recommendations and feedback?	
Did participants have a sense of accomplishment at the end of the session?	
Was the aim of the training achieved?	
Was there a training debriefing for all participants at the end of the session?	

Components	Comments
Was a training summary prepared and presented to senior management?	
General Comments:	
TRAINING SCHEDULE	
Was there a training schedule?	
Was the training schedule communicated to the target audience and management?	
Was time allotted for business unit discussion prior to the debriefing?	
Are recommendations/feedback from training included in scheduled updates for the BRP?	
General Comments:	

EXERCISE AND VALIDATION EVALUATION

(Table 4)

Components	Comments
Executive Foreword	
Overall Comments:	
EXERCISE POLICY	
Is an overall Exercise Policy Statement included in the BRP?	
Does the exercise fall within the Policy Statement?	
Has the conduct of the exercise received the support of senior management?	
Was an exercise budget and expenditure forecast established?	
Does the Departmental BRP account for the conduct of BRP exercises?	
General Comments:	
EXERCISE GOALS AND OBJECTIVES	
Are the objectives realistic?	
Has senior management approval been obtained?	
Do the exercise objectives address the needs of the Department?	
Are the objectives clear and concise?	

Components	Comments
Do the exercise objectives correspond to and support the Departmental Business Plan and Vision?	
Was an evaluation tool established for use by the exercise observers?	
General Comments:	
EXERCISE GENERAL INSTRUCTION	
Was the Exercise Instruction issued in a timely manner?	
Does it provide a clear aim?	
Is the scope of the exercise clear?	
Was a list of exercise appointments and participants included?	
Were specific administrative arrangements clear?	
Were appropriate safety measures included?	
Were specific communication methods allotted?	
Was pre-training for observers done?	
General Comments:	
CONDUCT OF THE EXERCISE	
Was an exercise briefing done?	

Components	Comments
Was there a Master Events List?	
Were safety and control measures for the exercise explained?	
Did the exercise start on time?	
Were exercise inputs clear and timely?	
Was the pace of activity suitable?	
Were accurate logs maintained?	
Were the roles of Exercise Director, observers and participants explained?	
General Comments:	
POST-EXERCISE ACTIVITIES	
Was there an exercise debriefing?	
Was a schedule established for the consolidation of debriefing points?	
Were exercise participants actively involved in the debriefing?	
Was the aim of the exercise achieved?	
Was time allotted for business unit discussion prior to the debriefing?	
Was an Executive Summary of the exercise prepared and submitted to senior management?	

Components	Comments
Was a summary of the exercise, including key lessons learned, distributed to exercise participants?	
Did exercise participants have a sense of accomplishment at the end of the exercise?	
General Comments:	